Program Design and Performance Management Workbook

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TOOL 1: ALIGN PROGRAMS TO ADVANCE EXISTING STRATEGIES

When initiating a program, the first phase is to review the program idea and confirm that it aligns to advance existing strategies.

Important strategies and reports to consider include:

- Joint Regional Strategy (JRS)
- Functional Bureau Strategy (FBS)
- Integrated Country Strategy (ICS)
- USAID Country Development Cooperation Strategies (CDCS)
- Sustainable Development Goals (SDGs)
- Interagency policies, sector strategies, Presidential directives, commitments, and guidance (e.g. National Security Guidance)

Considerations	Answers
How does the program idea help achieve the goals or objectives from the relevant JRS or FBS?	

How does the program help achieve one or more ICS objectives or sub-objectives?	
Does the scope of the program idea fit within the purview of your office, bureau, or post?	

How have you determined what is necessary for the program to achieve the goals and objectives of higher level strategy?	
How does the program concept help achieve any goals and objectives of agencies or groups outside of the State Department?	

How has the program implemented a plan to ensure continued alignment and advancement of strategy throughout program design and implementation?	

TOOL 2: INTERNAL ASSESSMENT

This tool is an analysis to fully understand the capabilities within your own office, bureau, or post. This will prevent the design of program that is too large to manage, is beyond the capabilities of your staff, or designing a program that could have reached greater potential.

To complete this tool, use information available to you to assess:

1) What resources (personnel, time, finances, and expertise) are available to you within your office, bureau, or post,
2) If these are sufficient to implement the program,
3) If you need additional resources and;
4) Where you may find these resources.

Questions	Answers
What is the budget of the program?	

How long are people needed?	
Number of personnel available to work on the program?	

How much time does each person have available to support this program and during what periods?	
What specific skills and/or personnel are required to manage this program?	

Are these skills available in the office, bureau, or post?	
If these skills are not available in your office, bureau, or post where will you find them?	

Is additional training required to design and manage the program?	
Is the current information technology platform sufficient to operate the program?	

TOOL 3: EXTERNAL ASSESSMENT

An External Assessment is the process of surveying the environmental surroundings where the program will take place to understand potential opportunities and threats. Use the information available from document review and coordinating with external and internal stakeholders to understand the context in which the problem occurs.

External Assessment

Questions	Description	Answer	Could this negatively interfere with program implementation?
Political/Legal			
Are there political/legal factors that could positively or negatively affect operations or activities?	Laws, regulations, hostility towards such activity		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

Security			
Are there security factors to consider?	Instability, violent crime		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

Environment			
What are the natural surroundings that may influence the implementation of the planned program?	Geography, health, natural disaster, climate, etc.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

TOOL 4: FIVE WHYS

The Five Whys tool will help programs determine the root cause of the problem. Fill in the section that answers what undesirable symptom you would like to address. Then ask, “Why is this happening?” As simply as possible, fill in the answer. Then ask, “Why is this happening?” Continue to do this until the underlying cause is discovered.

Why?	Answers to Address	Answers
What is the undesirable symptom you would like to address?	The visible result of the underlying root cause. The problem we would like to solve.	
First Why: **Why is this happening?**		
Second Why: **Why is this happening?**		
Third Why: **Why is this happening?**		
Fourth Why: **Why is this happening?**		
Fifth Why: **Why is this happening?**		

Team Discussion	
Will the answer to the fifth why potentially address resolve the undesirable cause?	

TOOL 5: REVIEW OF THE ISSUE OR PROBLEM

This is a closer look at the circumstances that surround the issue you would like to address. Within the larger context, ask more specific questions to understand the specifics surrounding the issue. To complete the Review of the Problem Tool, you may conduct a document review, coordinate with internal stakeholders, and if time and resources allow coordinate with external stakeholders to answer the questions below.

Questions	Description	Answers
What are the root causes of the problem?	The underlying systemic causes of the problem inserted from the Five Whys tool.	
What are the systems and behaviors that keep the problem in existence?	The systems, behaviors, culture, beliefs, power structures, economics, instability, etc. that perpetuate an issue or problem.	

Who are the beneficiaries or customers of the program?	Who will benefit most from the program? Who is in greatest need?	
What are the needs of those recipients?	Consider the population you would like to target. What are their greatest needs?	
How can these needs be met?	Taking into account the root causes of the problem, immediate and long-term needs, how can the program address the needs of the recipients?	

Who are the other actors or potential partners working in the area?	Consider other actors in the area and sector who may be implementing similar programs.	
What are the systems and behaviors that keep the problem in existence?	The systems, behaviors, culture, beliefs, power structures, economics, instability, etc. that perpetuate an issue or problem.	

TOOL 6: DEVELOP THE PROBLEM OR NEEDS STATEMENT

To create the **problem or needs statement**, use information from the situational awareness and in short, concise terms answer WHO, WHAT, WHEN, WHERE, WHY, and HOW. Combining the answers of these six questions into one, succinct statement will develop a problem statement describing the issue that you would like to address through the interventions of the program.

QUESTION	CATEGORY	DEFINITION	ANSWER
WHO	***Customers or Beneficiaries Demographics***	Describe the population that is affected by this problem (e.g., age, gender, education, ethnic group, religion, etc.)	
	Stakeholders	Describe who is involved in the issue or challenge	
WHAT	***Scope, Extent, Severity***	Describe the: • Sector, area, or subject matter • Scale or magnitude • Gravity and urgency	

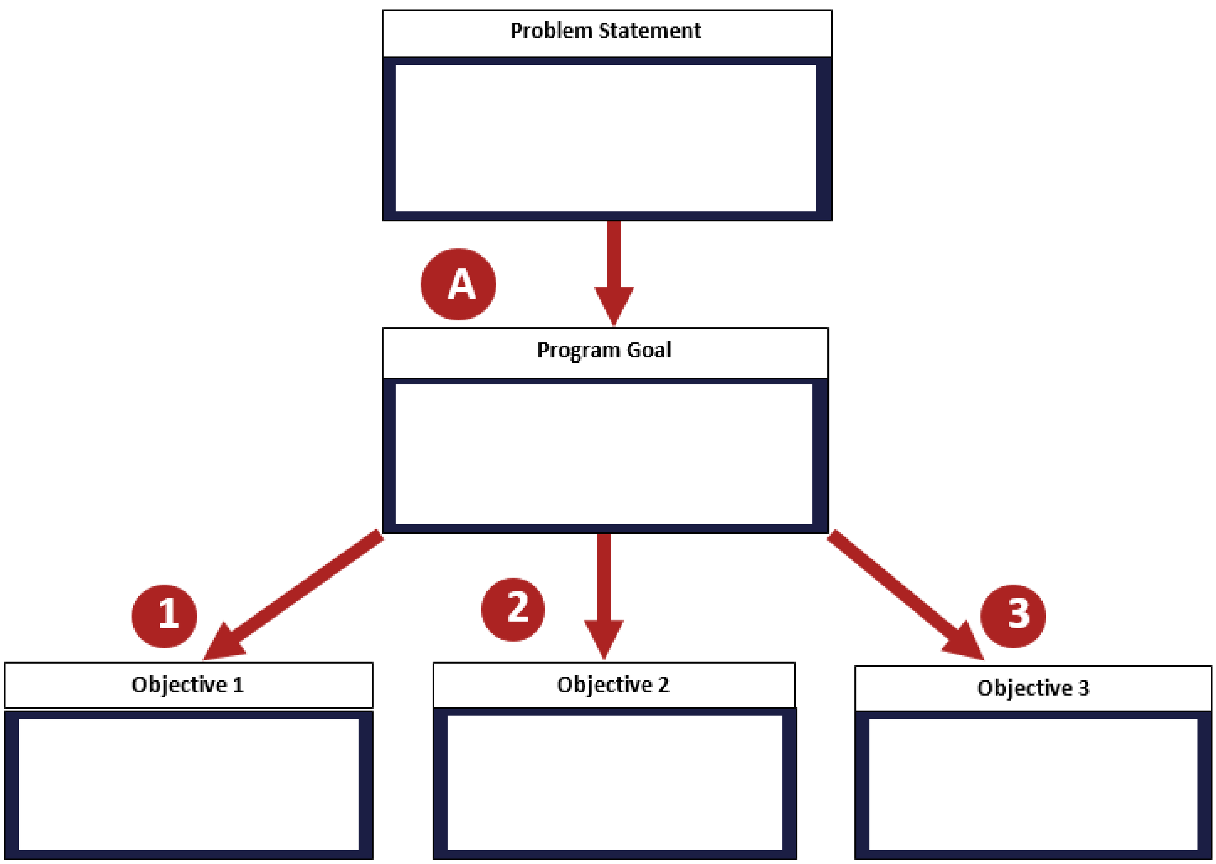
WHEN	***Context***	Describe when the issue or challenge takes place. Be sure to include any specific context or circumstances under which the issue or challenge occurs such as time of day, time of year, or time in one's life. Describe the cultural norms and attitudes that play a role in this issue or problem.	
WHERE	***Location***	Describe the geographic or specific location where the issue occurs.	
WHY	***Causes***	Describe the root causes of the issue or problem.	
HOW	***Effect***	How does the issue affect the customer or beneficiary?	

Problem Statement	Using the information described in the six categories above, write a detailed problem statement to guide the program design process.	

TOOL 7: DEVELOP PROGRAM GOALS AND OBJECTIVES

To develop **program goals and objectives:**

1) Insert the problem statement from the Problem or Needs Statement Tool.
2) To develop the program goal(s), consider the problem statement and ask, "What is the overall intent or purpose of the program that will address this problem?" The goal becomes the response to that question and is the desired end state.
3) The objectives are the steps that will guide your team in the attainment of the goal(s). Be certain each objective is **clear and concise**; **measurable during program evaluations**; **feasible** considering program funding, time, human capital, and other resources; is **relevant** to program and office or bureau goals; and can be **achieved within the time-frame** of the program. Ask, "Can I measure this objective during the mid-term and end of program evaluations?"
4) The worksheet provides space for 3 objectives, but you may have as few as 2 and as many as 5 objectives per goal.



TOOL 8: LOGIC MODEL

Please refer to Section 3.3 of the toolkit for more information on completing a logic model. Start by using the program goal to determine the long-term outcomes of the program. The components of a logic model include:

- Short- and Long-Term Outcomes – what we achieve
- Outputs – what we get
- Activities – what we do
- Inputs – what we invest

This Tool recommends mapping particular projects together – how one activity or similar set of activities logically flow through the model as seen in the Case Examples in Section 3.3 and in Appendix E.

What are the resources invested to start and maintain the program?	**What activities will you implement?**	**What are the immediate results of those activities?**	**What are the intermediate results of the intervention?**	**What are the long-term results due to the program intervention?**

TOOL 9: PROGRAM ASSUMPTIONS

Program assumptions are external conditions that should exist in order to achieve the program objectives. Insert program assumptions here. These would include programmatic and external factors that may influence the moving from one step to the next. There is space between each phase of the logic model to enter program assumptions. Please refer to toolkit Step 3.3 for more information on program assumptions.

Assumptions	Assumptions	Assumptions	Assumptions
If all the inputs are provided then the activities can be performed. - - - - - - -	**If all the activities are implemented then all the outputs will be achieved.** - - - - - - -	**- If all the outputs are achieved then the outcomes will be attained.** - - - - - - -	**If all the outcomes are attained then the program will have the intended impact.** - - - - - - -

TOOL 10: OPUDATA (Objective, Practical, Useful, Direct, Attributable, Timely, Adequate)

This tool helps programs develop indicators that are objective, practical, useful, direct, attributable, timely, and adequate. When developing your performance indicators use this checklist to determine if each performance indicator has each characteristic or if the indicator needs revised.

Indicator:

Characteristic	Description	Yes or Needs Revision
Objective	Performance indicators should be unambiguous about what is being measured. They should be unidimensional, which means they should measure only one aspect at a time. Performance indicators should also be precisely defined in the PMP.	☐ Yes ☐ Needs Revision
Practical	Program teams should select performance indicators for which data can be obtained within the cost and time confines of the program.	☐ Yes ☐ Needs Revision
Useful for management	Decision-making needs should be a key factor when selecting performance indicators. Bureaus and offices may want to reference the list of standard foreign assistance indicators to review whether any of these indicators are applicable and useful for measuring progress against the program's goals and objectives; however, it will be necessary to create program specific indicators as well.	☐ Yes ☐ Needs Revision
Direct	Performance indicators should closely track the results they are intended to measure. If a direct indicator cannot be used because of cost or other factors, a proxy indicator (an indirect measure of the result that is related by one or more assumptions) may be used to measure the result.	☐ Yes ☐ Needs Revision
Attributable to program efforts	It is important that performance indicators measure changes that are clearly and reasonably caused by the program's efforts.	☐ Yes ☐ Needs Revision
Timely	Performance indicators should be available when they are needed to make decisions.	☐ Yes ☐ Needs Revision
Adequate	Teams should have as many indicators in their PMP as are necessary and cost effective for results management and reporting purposes. In most cases, two or three indicators per result should be sufficient to assess performance.	☐ Yes ☐ Needs Revision

TOOL 11: INDICATOR REFERENCE SHEET

An indicator reference tool is one tool to help think through the information necessary in selecting and developing performance indicators. Instructions are included in the second column of this tool, and a blank tool is provided.

Required Information	Instructions: To Be Completed
Indicator	*The indicator language should be concise and very clear about <u>what</u> exactly is being counted or measured and should spell out acronyms.*

Definition	*The definition explains how you will calculate the data collected to measure the change expected. Clarify everything the program design team needs to know to understand how to use this indicator:* • *Define all potentially subjective terms in the indicator (e.g., what specifically counts as being "trained" or not for purposes of this indicator)* • *Define all technical terms so non- subject matter experts can understand* • *Clarify how frequently the subject of the indicator should be counted (e.g., count each person once even if they receive multiple interventions, or count each instance of the intervention)* • *For "percent" indicators, define what should be counted toward the Numerator and what should be counted toward the denominator* • *Clarify any minimum or maximum values or scales that are relevant for this indicator* *For milestone indicators, clarify who and what is expected to be entered in response to the indicator, such a completion date or a qualitative response about the milestone.*
Linkage to Long-Term Outcomes	*Briefly describe the relationship of the indicator to the desired long-term outcome or impact it supports. Answers might describe the indicator's role in the underlying theory of change, the anticipated effect on longer-term outcomes resulting from a positive or negative shift in this indicator, and/or why the indicator represents a good proxy of progress toward desired goals.*

Reporting Type	*Specify one of the following units of reporting for this indicator:* • *"Number"* • *"Percent"* • *"Date" (Specify if it is a 2-digit month and/or a 4-digit year)* *"Qualitative Response" (Specify set response options if applicable, or very specific instructions for the desired response; note that these are for short qualitative responses of a few words with a max limit of 15 characters and not intended for capturing lengthy narratives.)*
Use of Indicator	*Briefly identify how this indicator will be used to monitor progress in achieving program goals and objectives. Also note if this indicator will be used to monitor progress in achieving bureau or office strategic objectives in the Functional Bureau Strategy (FBS) or Joint Regional Strategy (JRS) (or other such ongoing bureau meetings or progress reviews) and/or how this indicator is used to meet external reporting requirements (such as the name of the report in which it is used.)*

Required Information	Instructions: To Be Completed
Reporting Frequency	*Frequency for reporting results and setting targets (i.e., quarterly, annually, every two/three/etc. years).*

Data Source	In order to track progress and to properly set baselines and targets, data will need to be collected. *Specify how and when data for this indicator will be generated in very practical terms. Include the specific acceptable method(s) by which data for this indicator are/will be/should be collected. There are two different types of data sources, including those that are specific to your program (primary data) and secondary data sources:* *Data collection tools should be easy to use for both the participant and the person responsible for analyzing the data. Suggested primary data collection tools include, but are not limited to:* • *Pre- and post-tests* • *Informal pre- and post- intervention surveys/questionnaires* • *Formal pre- and post- intervention surveys/questionnaires* • *Meeting minutes* • *Attendance sheets* • *Site visit checklists* • *Interviews (key informant and community)* • *Direct observation* • *Focus groups* • *Program reports* *Examples of secondary data sources include, but are not limited to* • *Host country government reports/data* • *UN, World Bank, and other relevant data* • *Document review (reports, studies, evaluations of similar programs, etc.* • *Official government records* *Official reports from implementing partner(s)*
Bureau Owner(s)	***Bureau, Office, or Post****: (provide as much organizational detail as possible, starting with the bureau and drilling down).* ***POC****: Provide at least one point of contact and their name, phone, and email from the owner bureau(s) for consultation and records management purposes.*

Disaggregate(s)	*To disaggregate data means to break it down by subgroups. It is important to consider only the information that you need to know, as there are infinite ways to disaggregate information. Note that all people-level indicators must be sex-disaggregated. Bureaus, offices, and posts are encouraged to limit disaggregates to what is reasonable and feasible to obtain in the field.*

Required Information	Instructions: To Be Completed
Indicator	

Definition	
Linkage to Long-Term Outcomes	

Reporting Type	
Use of Indicator	

Reporting Frequency	
Data Source	

Bureau Owner(s	
Disaggregate(s)	

TOOL 12: MONITORING PLAN AND INDICATOR TRACKING TABLE

Monitoring plans and indicator tracking tables are used to summarize the expected program results for the activities, outputs, short-term outcomes, and long-term outcomes of the program and track the program's progress in reaching the targets. Use the information mapped out in the program's logic model and indicator reference sheets to provide information regarding how to measure program results. Insert the cumulative target (overall target for the lifetime of the program/project) and quarterly targets. As the program is implemented insert the actual amounts and compare. For more extensive instructions on using this tool, and an example of a completed tool, please reference Step 4.3 of the toolkit.

Program Goal	Program Objective

Indicator	Baseline	Data Source	Data Disaggregation	Frequency of Data Collection	Cumulative Target	Cumulative Actual (To Date)	Q1 Target	Q1 Actual	Q2 Target	Q2 Actual	Q3Target	Q3 Actual	Q4 Target	Q4 Actual

TOOL 13: DATA QUALITY ASSESSMENT CHECKLIST

Data quality assessments ensure the data reported meets the Department data quality standards. By providing input into data quality assessments, program implementers are able to flag data quality issues and limitations and maintain documentation on data quality issues.

Office, Bureau, or Post Name:	
Title of Performance Indicator: *(Indicator should be copied directly from the performance reference Sheet)*	

Result This Indicator Measures *(i.e., Long-Term Outcomes, Short-Term Outcomes, Outputs, etc.):*	
Data Source(s): *(Indicator should be copied directly from performance reference sheet)*	

Partner or Contractor Who Provided the Data: *[It is recommended that this checklist is completed for each partner that contributes data to an indicator– it should state in the contract or grant that it is the prime's responsibility to ensure the data quality of sub-contractors or sub grantees.]*

Period for Which the Data Are Being Reported:	
Is This Indicator a Standard or Custom Indicator?	☐ Standard Foreign Assistance Indicator ☐ Custom (created by the program; not standard)

Data Quality Assessment methodology: *[Describe here or attach to this checklist the methods and procedures for assessing the quality of the indicator data. E.g. Reviewing data collection procedures and documentation, interviewing those responsible for data analysis, checking a sample of the data for errors, etc.]*

Date(s) of Assessment:	
Assessment Team Members:	

Verification of DQA Team Leader Officer approval X____

VALIDITY	Data should clearly and adequately represent the intended result	Yes	No	Comments
1	Does the information collected measure what it is supposed to measure?			
2	Do results collected fall within a plausible range?			
3	Is there reasonable believe that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
4	Are sound research methods being used to collect the data?			

RELIABILITY	Data should reflect stable and consistent data collection processes and analysis methods over time.	Yes	No	Comments
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)			**TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely**
2	Are data collection and analysis methods documented in writing and being used to validate the same procedures are followed each time?			
TIMELINESS	**Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.**	**Yes**	**No**	**Comments**
1	Are data available frequently enough to inform program management decisions?			
2	Are the data reported the most current practically available?			
3	Are the data reported as soon as possible after collection?			
PRECISION	**Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.**	**Yes**	**No**	**Comments**
1	Is the margin of error less than the expected change being measured?			
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.			

3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.)			
INTEGRITY	**Data collected should have safeguards to minimize the risk of transcription error or data**	**Yes**	**No**	**Comments**
1	Are procedures or safeguards in place to minimize data transcription errors?			
2	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to the data?			

SUMMARY

Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data?

Significance of limitations (if any):

Actions needed to address limitations prior to the next DQA (given level of USG control over data):

IF NO DATA ARE AVAILABLE FOR THE INDICATOR	**COMMENTS**
If no recent relevant data are available for this indicator, why not?	

IF NO DATA ARE AVAILABLE FOR THE INDICATOR	**COMMENTS**
What concrete actions are now being taken to collect and report these data as soon as possible?	

TOOL 14: STRATEGIC PROGRESS REVIEW

In planning for the reviews, senior leaders should identify their priority questions and discussion topics for the review session. Once questions are identified, offices, bureaus, and posts can use the form below to document key findings, note whether the right data were available or if other data should be captured, and note any action items.

Attendees:

Date:

Review Question/ Discussion Topic	Data Used	Findings	Did we have the right data?	Action Items
(Use the review to address questions that are of greatest use for decision-makers at the time – such as questions about the overall progress of a strategic objective, status of an action item, performance of a particular program, questions of interagency coordination, etc.)	*(List the information that will be used to inform the discussion topic or question, such as indicators, milestone status, relevant evaluations, studies, key informants, etc.)*	*(Note key findings from the review such as were expected results achieved on pace, what obstacles were presented that need addressed, etc.)*	*(Note whether the data were sufficient to answer the question, or if different/more/ less data are needed. Make an action item to change your monitoring plan accordingly, if necessary.)*	*(Based on the findings, note any follow-up action items including any adjustments to your strategic plan.)*
1)				
2)				
3)				
4)				
5)				
6)				

TOOL 15: ACTION ITEMS FOLLOW-UP TRACKER

The Action Items Follow-Up Tracker allows members of your team and key stakeholders to record important decisions to be completed from the Strategic Progress Review Tracker and record the progress of each item. The tracker provides space to nominate a point of contact (POC) so each item has a person responsible for ensuring the completion of the action item as well as a due date so the POC knows when the item should be completed.

The table can help keep track of and communicate any action items stemming from the strategic progress review. This suggested framework can be modified to best suit the needs of your office, bureau, or post.	Action Item (POC)	Due Date	Progress Update
(List any items from your review framework)	*(List at least one POC assigned to implementing the action item)*	*(Date by when the action item should be implemented)*	*(Note any progress in implementing action item)*
1)			
2)			
3)			
4)			
5)			

TOOL 16: WORK BREAKDOWN STRUCTURE

The WBS visually defines the scope of the project into manageable chunks that a project team can understand, providing additional definition and detail at each level of the WBS.

The following guidelines should be considered when creating a work breakdown structure:

- The top level represents the project name
- Tasks are assigned so that when completed it indicates the completion of the project
- All tasks of the work breakdown structure do not need to be defined to the same level of detail
- Tasks are unique and should not be duplicated across the work breakdown structure
- The sub-tasks define the work, duration, and costs required to produce the task