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**BASIC HUMAN NEEDS FIELD STUDIES:  
EVALUATION METHODOLOGY WORKBOOK**

**E.T. Jackson and Associates Ltd., Ottawa  
CAC International, Montréal**

**Prepared for the  
Performance Review Division,  
Canadian International Development Agency, Hull**

**June 11, 1997**



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## Abbreviations

CEA	Canadian Executing Agency
CIDA	Canadian International Development Agency
LFA	Logical Framework Analysis
NGO	Non-Governmental Organization
NGI	Non-Governmental Institution
PRD	Performance Review Division
RBM	Results-Based Management
TORs	Terms of Reference
WBS	Work Breakdown Structure



## **1. Introduction**

The purpose of this Workbook is to provide evaluation consultants with a common approach to data collection, analysis and reporting for the field studies of basic human needs for the field studies of basic human needs projects to be undertaken in the summer and fall of 1997. Nineteen such field studies of CIDA-funded projects in Africa, Asia, the Americas and Eastern Europe are being carried out by CAC International and E.T Jackson and Associates Ltd., under contract to CIDA's Performance Review Division (PRD).

To ensure a maximum level of comparability among the numerous projects evaluated in the Basic Human Needs performance review, it is essential that the evaluation teams pursue data collection using common methodologies and tools, conduct analysis according to common analytical frameworks, and present information, conclusions, recommendations according to standardized themes and formats. Evaluation findings and conclusions should be comparable regardless of the project's size, nature, sector of intervention, or delivery/management mechanism.

These field studies constitute a major component of PRD's corporate review of CIDA's performance in basic human needs. Other components involve a literature review, an investment analysis, and desk studies of BHN policy issues. The terms of reference for the overall corporate review are appended as Attachment 1.

## **2. The Workplan**

Each field study will be conducted by a team of consultants, both Canadian and local. The team is first contracted through a general set of terms of reference (TORs), appended here as Attachment 2. The consultants will then proceed to review project files of CIDA and the Canadian Executing Agency (CEA) (a private firm, NGO or NGI), and to interview key CIDA and CEA officers in Hull responsible for the project. Based on these activities, the consultants will produce a detailed Workplan for the field study. This Workplan will be submitted to PRD for rapid comments and approval. The Table of Contents of the Workplan is appended as Attachment 3. Suggested level of effort for the Workplan: 5-7 days per team member.

## **3. Major Output of the Field Study: Table of Contents of the Evaluation Report**

The primary output of each field study is a detailed report summarizing the findings of the evaluation. Attachment 4 presents the Standard Table of Contents for evaluation reports for bilateral project evaluations. (Reports for evaluations of Partnership Branch projects will be shorter but should follow the same general outline).

3.1 Introduction: This short section can be drawn from the directly Workplan. It summarizes the approach and methodology employed in the study.





- 3.2 **Development Context:** This chapter can be based on UNDP Human Development Index, World Bank and national data, the UNDP annual country report, national development plans and policies, and a day's worth of interviews with key government officials and donors relevant to the issues under study. Suggested level of effort for in-country data collection. 1 day
- 3.3 **CIDA's Country Policy.** CIDA's country programming documents (most are available in Canada), and CIDA staff interviews in Canada and in-country, should be sufficient to prepare this chapter. Suggested level of effort for data collection: .5 day.
- 3.4 **Project Description:** Information gathered through the Workplan will provide the basis for this chapter, which should be verified in the field. Data collection/verification time: 5 day - 1 day.
- 3.5 **Results Achieved:** Interviews, document review, field-site visits and focus groups will be used to gather the data necessary for this section. The results achieved should be summarized in a grid as per Attachment 5. It is essential that the evaluation team gather and summarize in the grid findings on both quantitative and qualitative indicators of results. Performance ratios should be reported here. It is important that project results be summarized in as succinct a way as possible; the use of the grid, tables and charts will be helpful. Data collection time: 5-7 days.
- 3.6 **Development Factors:** Using the CIDA framework as a guide, data will be collected through all methods in the study to examine the key success factors explaining the results achieved by the project. Issues to be integrated here also include: program coherence, donor coordination, and interaction of programming levels (macro, meso, micro) Data collection/analysis 3-5 days
- 3.7 **Management Factors:** Same as in section 3.7. Data collection/analysis: 3-5 days.
- 3.8 **External Factors:** This chapter examines factors outside or "above" the project which influence its performance but which are beyond its control. Key stakeholder interviews and project and country-related reports, articles and databases will provide material for this section. Data collection time: 1 day
- 3.9 **Overall Project Performance:** This chapter permits an overall analysis of the project's major factors influencing success (development, management and/or external) in relation to its results achieved. This section also is the place for an overall statement as to the ranking of the project using the multi-criteria analysis tool.
- 3.10 **BHN Issues and Themes:** The purpose of this chapter is to summarize and explain the project's performance in relation to important BHN themes and issues relevant to CIDA, other donors, and development cooperation generally. CIDA policy documents and UNDP and OECD reports will be helpful on orienting the writing of this chapter. In-country interviews with CIDA, bilateral and multilateral donors are key, as well Suggested data collection time: 3 days.



- 3.11 **Lessons Learned and Recommendations:** What lessons can be drawn from the project which will inform and enhance the future work in BHN of CIDA project officers, specialists and executives, other donors, developing-country governments, and NGOs (Canadian and Southern) in terms of policies, country programs and projects (at all points on the project cycle and for all project functions). Recommendations should be directed at each of these levels. Clear, one-sentence recommendations specifying who should take what action, within what time-frame, are best. Data analysis: 2 days.
- 3.12 **Executive Summary:** Teams should draft a five-page Executive Summary of the findings of each evaluation report. Attachment 6 provides a structure for this Executive Summary. Summaries will be translated in both official languages. Writing time: 1.5 days (including revisions).
- 3.13 **Division of Labour on Teams:** Team Leaders will need to assign responsibility for the various components of the report to team members, in terms of both data collection and the drafting of sections. Each team will allocate these responsibilities in a manner appropriate to its mix of skills and experience and to the nature of the project.

#### 4. **Multi-Criteria Analysis**

Each of the evaluation teams will, collectively, assess the project in terms of a standard ranking system. Attachment 7 presents the tool to be employed for this purpose. Team members must seek a consensus on which statement best describes the project's performance for each criterion.

This tool has been developed through a consultative process involving the firms engaged to undertake the field study and the PRD staff leading the BHN corporate review. The criteria are based on CIDA's Key Success Factor framework. Detailed design of the tool was carried out by CAC International.

A standardized ranking system is used to determine the degree of achievement of each indicator. The ranking system consists of a series of descriptive statements, representing a range of situations that illustrate the criterion in question. The range of situations extends from the "ideal" to the "worst case" scenario. The statements are drafted in terms that make them applicable across the full portfolio of projects evaluated.

The various evaluation teams will select the statement that best describes their assessment of the project status according to each indicator. The evaluation team's assessment according to each indicator will be accompanied by a concise presentation of the supporting evidence, argument, or demonstration.



The contribution of each Success Factor to project results is suggested by the strength of its constituent indicators. The pattern of strengths and weaknesses within a project, and across the full portfolio of projects, should yield important lessons in BHN programming, management, and evaluation.

Toward the end of each field mission, in conjunction with the Multi-Criteria Analysis, teams will assign a rank to the project's performance as either Superior, Above Average, Satisfactory, or Unsatisfactory. The "sum" of these scores will constitute an important element in the project's overall performance rating.

In the course of using the Multi-Criteria Analysis Tool, the evaluation teams will compute a series of performance ratios. These ratios will be reported in the "Results Achieved" section of the report as well as in other sections on Success Factors and BHN Themes and Issues. Attachment 8 lists the performance ratios to be computed.

## 5. Stakeholder Mapping

Each team, as part of its Workplanning, will be required to produce a "map" of the key stakeholders in the project under study. Attachment 9 provides a sample of such a stakeholder map or network. For the purpose of these studies, stakeholders refer to all organizations and individuals with an interest in the project, including CIDA, other donors, Canadian executing agencies, developing-country-partner agencies (governmental and/or non-governmental), and local communities, organizations, households and individuals (both men and women, in various age, ethnic and occupational groups). Beneficiaries refer to the organizations and individuals intended to directly benefit from the project. Such beneficiaries are typically developing-country ministries (eg. health, water, rural development) and NGOs, as well as local organizations (eg. clinics, schools, water committees), households and individuals, particularly poor women and children. Beneficiaries are primary stakeholders (so are those groups or individuals who have been directly affected by the project negatively) while intermediaries in the aid delivery process are secondary stakeholders.

## 6. Matrix of Issues, Indicators and Data Sources

One of key first tasks in Workplan preparation is for the teams to develop a matrix of evaluation issues, indicators and data sources. This will guide teams in targeting their data collection activities and allocating their time and resources in the field. Attachment 10 provides a format for the matrix.

## 7. Interview Guides

For each key stakeholder group, with particular emphasis on a reasonable sample of beneficiaries, a series of open-ended interview questions will be developed. Attachment 11 presents a sample interview guide that can be adapted for particular stakeholder groups



## **8. The Gender Dimension of Data Collection**

In the area of basic human needs, women play a predominant role in the delivery and use of services. They are the staff at health clinics and family-planning programs. They collect water and (sometimes) maintain pumps and other systems. Most importantly, as mothers and wives, women provide for the basic needs of family members of all ages: food, water, health, clothing, and so on. At the household level, they implement BHN interventions. Typically, women represent the key local-level beneficiary group of most of the projects under study here.

It is therefore essential that the voices of women all along the BHN service-delivery “chain” be heard clearly in all field evaluations. Special efforts must be made by the teams to engage women beneficiaries in real conversations about how the project serves (or does not serve) their practical and strategic needs. This requires field-site visits utilizing separate individual and group interviews for men and women, and female interviewers for female interviewees. It is also necessary to recognize that poor women, in particular and women field staff, pay a personal and financial price for participating in interviews. There may be a need, therefore, for teams to make contributions to compensate for this cost. Teams are encouraged, in this regard, to make donations to local-level organizations (eg. health clinics, women's groups) which will deploy the contribution most directly and appropriately.





Attachment 1

**BASIC HUMAN NEEDS  
PERFORMANCE REVIEW  
FINAL TERMS OF REFERENCE**

Performance Review Division  
March, 1997



## 1. PURPOSE

This Review will consist of a status report on overall BHN activities at CIDA and evaluations of the performances of selected Agency interventions in specific BHN categories

The analysis, conclusions, and recommendations of the Review will:

- inform the management of the Agency of achievements and outstanding issues in the selected categories of BHN,
- assist in the better design and implementation of BHN policy, programs, projects, and activities;
- enhance learning in the Agency on BHN through the dissemination of best practices and lessons learned,
- assist reporting to Parliament and the public on CIDA's results in BHN.

## 2. CLIENTS

The principal client for the Review is CIDA. Within the Agency, the main clients are the Executive Committee, planners, managers and policy analysts of BHN programs and projects.

The findings of the Review may be used by the Agency to inform external stakeholders, including the Canadian Parliament and public, developing country governments, and institutions, CIDA's Canadian partners including the NGOs; and multilateral and bilateral donor agencies.

## 3. KEY INFLUENCES

This section briefly describes a number of factors influential in determining the scope, approach, and products of the Review

### BHN Policy

The Executive Committee has recently approved CIDA's Policy on BHN. The objectives of the Policy are (1) to help meet Canada's commitments in key areas, (2) to build the capacities of developing countries in key areas, (3) to reach and strengthen people and groups most in need and (4) to mobilize and effectively utilize necessary resources. The review will be informed by the

policy and will generate analysis that will be useful in its implementation

### Expenditure trends

In 1995/96, CIDA disbursed 38.5% (\$ 620.56 million) of its funds on BHN (including food aid), almost three times the amount disbursed on any other priority. The 1996/97 corporate expenditures are not yet available. However, reported bilateral disbursements through December, 1996 were \$75 million (excluding food aid). Partnership disbursement until December 1996 were \$31 million.

Table 1 reports CIDA's BHN investments by Branch<sup>1</sup>. It also reports BHN investment by Partnership and the bilateral branches by categories.

By Branches, 1995/96 (% of total CIDA disbursements)	Bilateral and Partnership investments by category April 1, 1995 - Dec. 1996 (% of bilateral and partnership disbursements)		
	Multilateral	63.9	Integrated Basic Human Needs (IBHN)
- Food Aid	38.3	Health	46.2
- International Humanitarian Assistance	11.8	- Primary health care	21.5
- Multilateral Institutions	9.2	- Water Sanitation	7.4
- International Financial Institutions	4.6	- Nutrition	8.9
Bilateral (excl. CEE)	25.9	- Family Planning	8.4
Partnership	10.0	Basic Education	20.5
		Shelter	2.9

Food Aid is the most substantive channel for delivering BHN programmes in terms of disbursements. Other multilateral channels such as International Humanitarian Assistance (IHA) and multilateral institutions are also important.

<sup>1</sup> Interim Report on CIDA's Expenditures in Basic Human Needs, 1997



Bilateral channels account for about one-third of the disbursements

In terms of bilateral investments, while Integrated Basic Human Needs activities are the largest single category, broadly defined health related investments represent an even greater proportion of disbursements. This broad definition of health is generally consistent with that provided in the CIDA Strategy for Health (November 1996). The Strategy defines health to include among other categories, Primary Health Care, Family Planning and Reproductive Health Care, Water and Sanitation, and Nutrition

The countries where CIDA has a substantial bilateral involvement in BHN are: Bangladesh, Indonesia and Sri Lanka in Asia; Mozambique, Ghana and Niger in Africa, and Haiti, Honduras and Peru in the Americas

### Major Issues

Four major issues, pertinent to this review, have emerged from internal consultations, the recently approved BHN Policy, the BHN Literature Review and the preliminary Investment Analysis (Annex 1) conducted as background work for this Review.

*The Results, Effectiveness, and Efficiency of Investments in BHN:* The quality of CIDA investments in BHN needs to be evaluated. Consultations with CIDA senior management and practitioners have led to the identification of several concerns with effective project results. They relate to issues such as capacity development and sustainability, partnership and local participation, governance, the cultural dimension and program coherence.

*Impact of CIDA's engagement in Policy Dialogue.* It is almost unanimous throughout the Agency that participation in and influencing policy dialogue is an important part of our contribution to international development, including BHN. All the program branches and Policy Branch engage in such activities. However, little systematic examination of these activities has been conducted. It is important for lessons learned and for highlighting the importance of this activity (which is often not "counted" because it is often not a

funded activity) that such efforts are documented and analysed.

*Comparative Advantages of Delivery Branches and Implementing Agents* The Agency uses three delivery branches (multilateral, bilateral and partnership) and many implementing agents (international agencies, private sector and NGOs etc.) to execute BHN projects. To ensure optimum use of funds, it is important to have an idea of the comparative effectiveness and appropriateness of these various branches and agents.

*The Reliability and Validity of our Current BHN Data* The importance of valid and reliable coding and counting is particularly important for BHN given the requirement of reporting on the 25% ODA target spending on this priority. The difficulty of counting investments in multilateral organizations, NGOs and institutions needs to be resolved as well as the issues surrounding the counting and coding of Lines of Credit and other delivery mechanisms

### Directions by the Executive Committee

In its discussion on November 13, 1996 of a draft terms of reference for the BHN review, the Executive Committee provided a number of directions as to the content and methodology of such a review

- It is to be an overview study i.e. a status report for the Agency's programs, projects, and other activities in this priority. It should be complemented by a number of project evaluations. This review should tell us what the Agency has done well, what issues are outstanding, and recommend how to address them,
- Approaches should be taken to include international humanitarian assistance in the review,
- The review should contain more explicit sectoral (health, education etc.) coverage;
- Evaluations of a statistically representative sample might be cost prohibitive, although the Review should provide as much coverage as possible in order to have a broader based examination of the sector. Branches could contribute to the review by conducting specific evaluations (or parts thereof) on behalf of



PRD As well, good end-of-project reports and evaluations already done could lighten the load of new evaluations. This combination will be the most economical way of collecting and using the information on what the Agency does in the area of BHN,

- The Framework of Results and Key Success Factors should be used as the basis for evaluating success and the overall review issues;
- The Review should touch on the different levels of CIDA intervention i.e. global, national, institutional and community based;
- The revised terms of reference is to include a status report on the BHN sectors, an assessment of evaluation work that has already been completed, a reiteration of the issues, and the selection of projects to be evaluated. The projects should be selected on the basis of demonstrating what is successful and assessing outstanding issues.

#### 4. SCOPE

The vast area covered by the BHN priority, the importance of providing valid and reliable analysis, combined with a consideration of the cost-effectiveness of this Review, has led to a focusing of the Review on the most significant issues and programs judged to be important for the delivery of BHN activities at CIDA. Equally important in determining the scope was the need to provide adequate coverage

As illustrated in Table 1, Food Aid is the largest delivery mechanism for BHN in terms of disbursement at the Agency and has been the subject of considerable debate. The importance of this channel has led to the decision to conduct a separate Review for Food Aid, which is currently underway

This Review concentrates on the remainder of the BHN priority. It will consist of two components

The first component, a **Status Report** of the Agency's activities in the area of BHN, will provide a report on the Agency's efforts in this area and respond to the direction of the Executive Committee to prepare such a report.

The second component, consisting of **evaluations and special studies**, will analyse the results, effectiveness, and efficiency of CIDA's BHN activities in four areas

- **Integrated Basic Human Needs;**
  - **Health;**
- (Together, these areas accounted for 76.6% of bilateral investments in BHN during the period from April 1, 1995, to December, 1996 )
- **Policy dialogue** for the purpose of influencing international agencies, international fora and/or countries/regions,
  - **International humanitarian assistance.**

The choice of these areas reflects the expenditure trends, issues identified through consultations, and the focus desired by the Executive Committee. Many basic education initiatives, especially, primary education, are new and can not be evaluated at this stage

This Review does not propose to address directly the issue of comparative advantage of different BHN delivery channels. These channels often serve different purposes and have different clientele. Therefore, comparisons across them may not be valid. However, the analysis done in the course of the review could potentially shed some light on this issue

Finally, the Review will make efforts to examine activities at the four levels of CIDA interventions -- global (e.g. UN summits, contribution to multilateral institutions), national (e.g. national capacity building and support to policy reforms), institutional (e.g. institution building) and community based (e.g., targeted interventions)

#### 5. APPROACHES AND PRODUCTS

The approaches and products chosen for the Review reflect the need to provide adequate coverage and assurance in a cost effective fashion. They are also consistent with the directions of the Executive Committee. A variety of approaches will be used to inform the Review. They are identified below and are summarized in Table 2.

A *reference panel* of subject experts will be selected to advise the Review team on substantive and methodological issues throughout the process





of the Review. It will include an evaluation specialist from IDRC.

### 5.1 BHN Status Report

This report will be based on five studies

- A study of *CIDA's expenditures* in the area of BHN. The first phase of this study (Annex 1) provides an overview of what CIDA spends, in what categories, where and through what branches and implementing agents. The second phase will examine these factors in more depth and will include an analysis of substantive issues emerging from an analysis of the data and comments on the strengths and weaknesses of the current BHN data base;
- A companion study *comparing CIDA BHN expenditures with similar expenditures* in selected donor countries;
- A study reviewing relevant *international literature including a synthesis of some existing evaluations of CIDA's bilateral projects*. This has already been completed. This study places the results of CIDA's past efforts within the context of international achievements in this area,
- A synthesis of selected evaluations produced by various donors on the *impact of selected multilateral organizations*. This will shed light on the results achieved in these organizations which are supported by CIDA,
- An *analysis of past projects currently being prepared by Partnership Branch* will enhance the coverage of the status report

### 5.2 Evaluation and Analyses of Selected Projects and Other Interventions

**The results, effectiveness, and efficiency of our BHN investments in the area of IBHN and the broader area of Health** will be addressed through up to 18 evaluations combining desk and field research.

Table 3 provides a list of the bilateral interventions to be evaluated. They fall in the areas of IBHN and health and were chosen from the list provided by the branches through a call letter issued for this purpose. Additional criteria used to choose the interventions were: (1) representation from each (geographic) branch, and (2) the respective

Country Desk's judgement of the appropriateness of the evaluation

Partnership interventions to be evaluated, will be selected from a list to be finalised by Partnership Branch at the end of March on conclusion of its analysis of several hundred BHN Project files for projects between 1992/93 and 1994/95. This analysis was undertaken using a modified version of the Framework of Results and Key Success Factors.

Given the importance of BHN disbursements in Africa branch, it is proposed that the Performance Review Division will initiate discussions with Africa Branch to add at least one intervention in IBHN and up to two in the broad area of health to the list of evaluations to be undertaken.

Given the nature of the interventions, some of the evaluations should afford insights into the relationship between BHN interventions and poverty reduction.

The number of interventions chosen represents a selection of interventions proposed by the bilateral and partnership branches and are not a statistically representative sample of all BHN interventions, even within the specific categories. Resource considerations including financial, personnel, and time constrained this choice. However, evaluations of these interventions will contribute to achieving the purpose of the Review as stated in Section 1, especially when they are combined with the synthesis of existing evaluations and other special studies to be conducted as part of the Review.

Two of the proposed evaluations are of particular interest, as they will trace the impact level results of CIDA interventions



The first will be conducted in partnership with the Ghana desk, and will evaluate the *Agency's investments in the water sector in Ghana* over the past 25 years. These investments consisted of 14 projects totalling approximately \$136 million. This evaluation will also contribute to the upcoming Infrastructure Services Review.

The second will evaluate the impacts of the *UNICEF Iodine Deficiency Disorder Control Project* in Indonesia. This project was



implemented globally, including 13 countries in Asia. Canada was very instrumental and active in these efforts. For example, the Kiwanis Club of Canada was involved in financially supporting this program. This impact study will, therefore, also allow analysis of Canadian involvement in multilateral efforts.

*All evaluations will be conducted using the Framework of Results and Success Factors as the methodological framework.* The consistency achieved through the utilisation of a common methodology will allow analysis and synthesis of results and lessons. The use of the Framework also allows an examination of the issues raised during the consultations about the results, effectiveness and efficiency of CIDA's BHN activities.

The use of the Framework will also be based on the nature of the intervention. For example, high-risk and innovative projects may call for a more complete application than lower-risk or older-type projects. Distinction must also be made between old and new projects. Use of judgement in adopting the Framework will be a key ingredient in its successful application.

The number of field studies proposed above is contingent upon a funding partnership with the branches and programs involved. The funding proposals are identified in Section 6.

#### **Studies of Effectiveness of Policy Dialogue**

Three desk studies will be conducted to trace the impact of CIDA in policy dialogue in different fora:

- The first study will examine *Canada's influence in the replenishment exercises* of Asian Development Fund (AsDF) - 6 (1992 to 1995), African Development Fund (AfDF) - (1989 to 1996) and (AfDF) - 7 (1996),
- The second will review the *Africa Branch's role in the Special Program of Assistance to low-income countries of sub-Saharan Africa (SPA) Forum*, particularly in the context of Structural Adjustment and Gender in Africa (SAGA);
- The third study will trace the role of RoofTops and other Canadian NGOs supported by

Partnership Branch in influencing the *policy statement of the Habitat Conference held in 1996*

#### **Analysis of Provision of International Humanitarian Assistance**

Analysis will be conducted of 25 IHA Project Closing Reports (PCRs) in collaboration with Multilateral Branch. These project closing reports were completed using the Framework of Results and Key Success Factors as the basis. This analysis will result in the identification of trends and lessons in IHA programming and delivery. The Review will utilise the recently completed multi-donor evaluation of the provision of international humanitarian assistance to Rwanda in drawing its conclusions.

#### **Performance Report**

This report will provide a summary of the overall findings, trends and lessons of the Review as well as the recommendations which arise from such analysis.

#### **6. BUDGET**

The total budget for the Review is forecast to be about \$1.2 million, or 0.28 % of the BHN expenditures at the Agency, excluding Food Aid, for 1995/96 alone.

PRD has budgeted \$ 650,000 for the Review.

The remaining \$550,000 is expected to come from the Branches, with each Branch's contribution dependent on the number of evaluations to be undertaken in the respective regions and responsibility centres. This is consistent with the directions provided by the Executive Committee.

#### **TIMEFRAME**

The Review will start in March, 1997.

The Final Performance Report will be presented to Executive Committee in March, 1998.

Individual studies and evaluations will be communicated across the Agency, as and when they are completed.



**TABLE 2: Approaches and Products**

Issues	Approaches	Products
BHN Program Status	Desk Studies - CIDA's expenditure in BHN - Similar BHN expenditures in selected donor countries - BHN literature & some selected bilateral evaluations - Synthesis of evaluations of selected multilateral organizations - Synthesis of the Partnership Branch BHN project file reviews conducted by the Branch	Status Report with 5 sub-studies/providing - An overview of CIDA's experience and efforts towards meeting BHN through its different delivery channels, and some international comparisons - Status of CIDA's current BHN data base
Results, effectiveness, and efficiency of CIDA's investments in BHN	- Field evaluation of selected projects using the Bilateral Framework of Results and Success Factors	Up to 18 evaluation reports analysing: - achievement of results including benefits to Canada - factors affecting results
Policy Dialogue	Desk studies - Canadian deputies' role in influencing AsDF, AfDF - Africa Branch's role in SPA forum - Partnership influence in the Habitat conference	3 reports examining: - CIDA's influence on the position towards development of basic social services and poverty reduction in international fora by multi-stakeholder institutions - Summary of issues and lessons learned
IHA	Synthesis of 25 PCRs	Summary of issues, lessons, trends identified re: humanitarian assistance
Status and Overall Performance in the selected BHN categories	Summary of evidence gathered and recommendations made	Performance Report



**TABLE 3: Selected Interventions for Evaluation**

Sectors (% of Bilateral and Partnership BHN investment )	Branches	Countries/Interventions
IBHN (30.4%)	Americas	Le Fond Alliance humanitaire Canada, Haiti (36 sub-projects) Guyana Futures Fund, Guyana (270 sub-projects)
	Asia	Aga Khan Rural Support Program (Phase 3), Pakistan CBIRD (Nang Rong) (Phase 2), Thailand
	Africa	To be identified
	Partnership Branch	To be identified (up to 3)
Health (46.2%)	Americas	Nicaragua Water Rehabilitation, Nicaragua Water Supply and Sanitation (Phase V), Peru
	Asia	<b>Indonesia Unicef-Iodine deficiency disorder, Indonesia</b> Fourth Population and Health, Bangladesh
	Africa	<b>Ghana Water Program</b> , Ghana, (14 projects over 25 years) Medicaments Essentiels (Phase 2), Mali
	Partnership Branch	To be identified (up to 3)





# FRAMEWORK OF RESULTS & KEY SUCCESS FACTORS

## A. Results

### ACHIEVEMENT OF RESULTS

*What progress is being made toward achievement of results at the output, outcome and impact levels?*

- Actual vs. intended results in the partner country.
- Actual vs. intended benefits to Canada.
- Unintended results.

## B. Development Factors

### RELEVANCE

*Does the project make sense in terms of the conditions, needs or problems to which it is intended to respond?*

- Consistency with needs and priorities of targeted beneficiaries/country/region based on a sound understanding of the local context.
- Consistency with CIDA policy, priorities and programs.
- Consistency with Canadian foreign policy, including potential benefits to Canada.
- Consistency with the efforts of local organisations and other donors addressing the same needs or problems.

### APPROPRIATENESS

*Are the project resources, capacities and selected strategies sensible and sufficient to achieve intended results?*

- Stakeholder satisfaction with and commitment to intended results and methods chosen to achieve them.
- Canada's capacity to provide goods and services required to achieve intended results.
- Resources and services designed and delivered in a manner that effectively responds to conditions (including risks), needs or problems identified.
- Application of lessons from development experience.

### COST EFFECTIVENESS

*Is the relationship between costs and results reasonable?*

- Comparison of costs with relevant benchmarks, where feasible, taking into consideration results achieved.
- Actual expenditures correspond to planned expenditures or significant variances fully justified.

### SUSTAINABILITY

*Will project benefits continue after completion of project activities?*

- Stakeholders take charge of project activities.
- Commitment of sufficient financial resources to maintain project benefits, where applicable.
- Adequate institutional capacity and on-going relevance to maintain project benefits.
- National and international environment conducive to maintenance of project benefits.



## C. Management Factors

### PARTNERSHIP

*Is there shared responsibility and accountability for project results?*

- Active participation of recipients and beneficiaries in project design, implementation and monitoring/evaluation.
- Clear definition, understanding and acceptance of roles and responsibilities of project participants.
- Partners in management have the appropriate authority and tools they need to make decisions and take action.

### INNOVATION and CREATIVITY

*Does the project explore new ideas and approaches to achieve its results?*

- Experiment with new project design and procedures.
- Calculated risk taking to achieve results.
- New partnerships to achieve results.
- Lessons learned from innovations recorded, reported and disseminated

### APPROPRIATE HUMAN RESOURCE UTILISATION

*Are suitable human resources involved and used well?*

- Good match between project needs and knowledge, expertise and personal skills of all major project participants.
- Adequate management of project personnel.

### PRUDENCE and PROBITY

*Is financial information complete, accurate, and reliable? Are financial resources being used economically?*

- Sound financial management policies and procedures, including budgeting, accounting and reporting systems and practices
- Adequate strategies and practices respond to the nature and level of risk to project funds and assets.
- Contracting and contract management in accordance with sound contracting policies and practices.

### INFORMED and TIMELY ACTION

*Do we anticipate and respond to change based on adequate information?*

- Effective networks and processes to identify and assess important trends and events in the project environment.
- Effective monitoring and reporting systems.
- Appropriate and timely response to opportunities and problems



**Table 1: KEY ISSUES AND INDICATIVE QUESTIONS FOR REVIEW OF BHN**

**CAPACITY DEVELOPMENT AND SUSTAINABILITY:**

The extent to which BHN projects and other activities address capacity development and sustainability. The link between these two concepts is summarised as follows: "The ability and opportunity that individuals, groups, organisations, institutions and governments have in a given context to solve their problems to attain sustainable development".

**PARTNERSHIP AND LOCAL PARTICIPATION:**

The degree to which those managing the project and beneficiaries are involved in all stages of the project cycle from planning to evaluation. To what extent, for example, do CIDA, the CEA, the local partner and the beneficiaries have the same understanding of the results to be achieved? What approaches and methodologies have worked best in fostering partnership and participation?

**GOVERNANCE:**

The capacity and willingness of governments to foster equity and distribution. To what extent have governments and indeed CIDA made the link between good governance and basic human needs? To what extent have CIDA projects and other activities fostered policy dialogue on BHN issues with host governments?

**CULTURAL DIMENSION:**

The need for sensitivity and knowledge of the local environment (social, cultural, and political) for successful BHN intervention. To what extent do cultural factors enable or hinder ownership of knowledge and technology?

**PROGRAM COHERENCE:**

A consistency between BHN interventions and (1) corporate policies, priorities and programming frameworks, (2) the four levels of intervention and (3) CIDA programming channels. Is there a consistency with needs and priorities of the targeted beneficiaries, country, region? Is there consistency with CIDA policy, priorities, programming framework and BHN activities? Is there a consistency with Canadian foreign policy, including potential benefits to Canada?

**INTERNATIONAL HUMANITARIAN ASSISTANCE (IHA):**

The links between IHA and other CIDA BHN programming. To what extent is there co-ordination between emergency and other BHN activities? To what extent has BHN of targeted food groups been met by emergency assistance (timely and effective)?

**POLICY DIALOGUE**

CIDA's influence on multilateral institutions or global fora; To what extent has Canada had influence with respect to BHN in the policies and programmes of international development agencies and in international fora?



## Attachment 2

### BASIC HUMAN NEEDS PERFORMANCE REVIEW

#### TERMS OF REFERENCE

#### CONTRACT WITH ( )

( Associates) will provide the services of Ms./Mr. ( ) for the evaluation of the ( ) Project in (country), one of the components of the Basic Human Needs Review, as detailed in the following sections.

The Terms of Reference for the Basic Human Needs Performance Review, as approved by Executive Committee on March 5, 1997, form the overall framework for Ms /Mr. ( )'s work. The Bilateral Framework of Results & Key Success Factors, and the Key Issues and Indicative Questions for Review of BHN provide the general direction, specific issues and questions for the analysis of the ( ) project in (country).

#### TASKS:

##### 1. Desk Study of the ( ) Project

review of planning and approval documentation of these activities, of previous evaluations, relevant policy documents and working files;

interview with major stakeholders - managers at CIDA-Hull, representatives of NGOs, or CEAs in Canada, representatives of Multilateral organizations (where applicable) at their headquarters; and submission of a workplan, based on conclusions of the desk study, for the mission

Days:

##### 2. Mission:

interviews with CIDA managers and relevant representatives of NGOs, CEAs or multilateral organizations and of the Government of ( ), other donors and UN organizations (where appropriate);

collection of information on the design and delivery of the projects;

interviews with direct recipients/participants of the projects,

summary report of field mission prior to leaving (country);

debriefing with stakeholders (where appropriate).

Days





**3. Evaluation Report**

Submission of a draft report on the ( ) Project in (country), based on the Framework, including a description of the activities and coverage of the issues defined for the Basic Human Needs Performance Review,

Days:

Following consultation with representatives of Performance Review Division, submission of a final evaluation report.

Days:

**BUDGET:**

**The budget will be established on the basis of:**

**Per Diem Fees:**

The consultant will be paid at the rate of \$ per diem.

(Subtotal professional fees: =\$ )

**Estimate of travel expenses:**

Canada - ( )

Overseas:

Airfare

Accommodation ( days x )

Meals and incidentals ( days x )

Communications

Local transportation

Subtotal \$

Printing \$



**Payment and milestones:**

The contract will be awarded on a fixed price basis, for the sum of \$ .

The following amounts will be payable upon receipt of these products on the following dates:

Workplan	- 50% -	, 1997
Draft report	- 20% -	, 1997
Final report	- 30% -	, 1997



## **Attachment 3**

### **WORKPLAN**

#### **A. EVALUATION APPROACH**

1. Introduction (1 paragraph)
2. Purpose of the Evaluation (1 paragraph)
3. Output of the Evaluation (Annex A)
4. Evaluation Team (1 paragraph)
5. Evaluation Issues (2-3 pages)
6. Methodology
  - 6.1 Multi-Criteria Analysis Approach
  - 6.2 Types of Data to be Collected (1 paragraph)
  - 6.3 Data Collection Methods (1 page)
  - 6.4 Evaluation Matrix (Annex B)
  - 6.5 Project Sites to be Visited (1 paragraph)
  - 6.6 Interviews to be Undertaken (see also Annexes C, D and E)
7. Schedule of Activities

#### **B. PROJECT STATUS**

8. Logical Framework Analysis (insert from PAM)
9. Chronology of Events to Date (1-2 pages in chart form)
10. Delivery Agencies and Partnerships Employed (1 page)

#### **C. DESK ANALYSIS**

11. Outputs Achieved to Date (Macro, Meso, Micro) (1-2 pages in chart form)
12. Information on Outcomes Achieved to Date (Macro, Meso, Micro)(1 page)
13. Impact Assessment Data Available and Required (½ page)
14. Models and Methods Developed By the Project (1 page)



**D. KEY ISSUES**

15. Key Issues Identified by Previous Evaluations, Reviews, Audits and Monitoring (1 page)
16. Key Issues Identified by Persons Interviewed (1 page)
17. Other Evaluation Issues to Be Addressed (½ - 1 page)

Documents Reviewed (Management Plan, Inception Report, Quarterly Reports, Project Closing Reports, Evaluations, Monitoring Reports)

- |         |   |   |
|---------|---|---|
| Annexes | A | Table of Contents of Evaluation Report                                      |
|         | B | Evaluation Matrix (Issues and data sources)                                 |
|         | C | Persons Interviewed for Workplan (CIDA, CEA, others)                        |
|         | D | Persons to Be Contacted in the Field  |
|         | E | Stakeholder Network (chart)   |
|         | F | Interview Protocols (For each stakeholder group)                            |
|         | G | Relevant Country/Project Data (Tables from UNDP, IBRD, CIDA, Project Files) |





**Attachment 4**

**PROJECT EVALUATION REPORT**

**Table of Contents**

	<b><u>Page</u></b>
Executive Summary (5p.) (Both English and French versions) . . . . .	
Abbreviations . . . . .	
Acknowledgements . . . . .	
1. INTRODUCTION (2-3 p.) . . . . .	
1.1 Project Background . . . . .	
1.2 Purpose of the Evaluation . . . . .	
1.3 Evaluation Team . . . . .	
1.4 Methodology . . . . .	
1.5 Limitations . . . . .	
I RATIONALE . . . . .	
2. DEVELOPMENT CONTEXT (2 p.) . . . . .	
2.1 Human Development (UNDP data on BHN indicators) . . . . .	
2.2 Social and Economic Inequality (Data by gender, region) . . . . .	
2.3 The Role of Government (Development Plans, Policies, Programs) . . . . .	
2.4 The Role of Foreign Donors (UNDP annual report, donor working groups) . . . . .	
2.5 The Role of Non-Governmental Organizations . . . . .	
2.6 The Role of the Private Sector . . . . .	
3. CIDA's POLICY IN RECIPIENT COUNTRY (2 p.) . . . . .	
3.1 Canadian Policy and Programming Priorities in the Country/Region . . . . .	
3.2 CIDA's Country Policy and Programming Framework (when Project was Designed; (and Current Framework) . . . . .	
3.3 The Role of Basic Human Needs in CIDA's Programming in Country/Region . . . . .	
3.4 BHN Programming Links with Other ODA Priorities (Poverty Alleviation, Gender Equity, Governance, Human Rights) . . . . .	



II	PROJECT DESCRIPTION .....	
4.	Project Description (3 p.) .....	
4.1	Project Background .....	
4.2	Logical Framework Analysis .....	
4.3	Chronology of Events .....	
4.4	Disbursements to Date .....	
4.5	Evaluation, Review, Audit and Monitoring .....	
4.6	Benchmark/Baseline Data .....	
4.7	Stakeholder Network (Chart) .....	
III	PROJECT PERFORMANCE	
5.	Results Achieved (5 p.) .....	
5.1	Overall Assessment of Results Achieved (use Results Grid) .....	
5.2	Outputs Achieved (Macro, meso, micro) .....	
5.3	Purpose-Level Results Achieved (Macro, meso, micro) .....	
5.4	Goal-Level Results Achieved (Macro, meso, micro) .....	
5.5	Unintended Results .....	
5.6	Benefits to Canada .....	
5.7	Perceptions of Stakeholders on Results Achievements .....	
6.	Development Factors (5 p ) .....	
6.1	Relevance .....	
6.2	Appropriateness .....	
6.3	Cost-Effectiveness .....	
6.4	Sustainability .....	
7	Management Factors (5 p ) .....	
7.1	Partnership/Participation .....	
7.2	Innovation and Creativity .....	
7.3	Appropriate Human Resource Utilization .....	
7.4	Prudence and Probity .....	
7.5	Informed and Timely Action .....	
8.	External Factors Influencing Results (2 p.) .....	
8.1	Significant Political, Economic and/or Social Change .....	
8.2	Climatic and Geographic Conditions .....	
8.3	National Government Policies and Actions .....	
8.4	Other External Factors .....	



9.	Overall Project Performance (2 p.)	.....
9.1	Overall Assessment of Performance	.....
9.2	Performance Ratios (Table format)	.....
9.3	Major Constraints	.....
9.4	Unique Models and Approaches	.....
IV	BHN THEMES AND ISSUES	.....
10.	BHN Issues and Theme Issues (5 p)	.....
10.1	Capacity Development	.....
10.2	Strengthening Groups in Need	.....
10.3	Gender Equity	.....
10.4	Cultural Dimension	.....
10.5	Poverty Alleviation	.....
10.6	Governance, Democracy and Rights	.....
10.7	Mobilization and Utilization of Resources	.....
10.8	Contribution to International BHN Targets/Commitments	.....
10.9	Other Issues	.....
V	LESSONS AND RECOMMENDATIONS	.....
11.	Lessons Learned and Recommendations (5 p.)	.....
11.1	For Policies	.....
11.2	For Country Programs	.....
11.3	For Projects (For project design, planning, contracting, implementation, monitoring and evaluation)	.....

Total Pages of Report: 30-35

References

Appendices	A	Multi-Criteria Analysis Tool
	B	Persons Contacted
	C	Evaluation Matrix (Issues and Data Sources)
	D	Interview Protocols
	E	Project Information (tabular data)
	F	Country Information (tabular data)

Tables

Figures



**Attachment 5**

**RESULTS GRID**

<b>Level</b>	<b><u>Outputs</u> Objectives-Level Immediate Results (1 month to 1 year)</b>	<b><u>Outcomes</u> Purpose-Level Short-Term Impacts (1 year to 5 years)</b>	<b><u>Effects</u> Goal-Level Long-Term Impacts (5 years to 25 years)</b>
Macro-Level (Policy, laws, regulations, national programs)			
Meso-Level (Institution)			
Micro-Level (-Community -Household -Individual)			





*Introduction*

The purpose of this report is to summarize the findings of an evaluation of the [ ] project. Fieldwork for this evaluation was carried out in [ ] 1997; data for the evaluation were collected through document review, key-person interview, focus group meetings, field-site visits and case studies. Overall, some [ ] persons in Canada and [ ] in [Country] were contacted for the study.

*Development Context (½ page)*

[Country] ranks [ ] on the Human Development Index among all countries in the world. Key indicators in the basic human needs area include the following : (% literacy by gender, maternal and child health, etc.).

CIDA's programming framework in [Country] emphasizes [key sectors] [ ] Canada has been supporting [BHN category] project in [geographic area] since [year]

*Project Performance (1 page)*

The project reported significant achievements between [start year] and [termination year or current year] Among these are:

<p>Outputs: Grid</p>	<p>Brief listing of results achieved in chart form, using Results</p>
<p>Purpose-Level Results: Goal-Level Results:</p>	

This project produced results that were most prominent in the [macro, meso, micro] area. [Two-three sentences elaborating on the levels of results most evident in the findings]

*Key Factors Explaining Project Results (2 pages)*

The following were key factors in facilitating project's achievements [several paragraphs explaining the importance/contribution of three to four key factors. Overall ranking of strongest and weakest factors].

*Policy Themes and Issues*

[Three to four sentences on major policy themes and issues in the project].

*Lessons (1 page)*

[Up to five lessons listed in numbered form, at the policy, program and project levels; 3-4 paragraphs].

*Conclusion (1 para)*

[Three sentences on implications of findings of the evaluation for the BHN corporate review].



**Attachment 7**

**MULTI-CRITERIA ANALYSIS TOOL:  
A RANKING SYSTEM FOR KEY SUCCESS FACTORS**

**CAC International, Montréal**

**June 6, 1997**



## GENERAL BHN PERFORMANCE REVIEW METHODOLOGY

To assure a maximum level of comparability among the numerous projects evaluated in the Basic Human Needs performance review, it is essential that the evaluation teams pursue data collection using common methodologies and tools, conduct analysis according to common analytical frameworks, and present information, conclusions, recommendations according to standardised themes and formats. Evaluation findings and conclusions should be comparable regardless of the projects' size, nature, sector of intervention, or delivery/management mechanism.

Comparability across projects evaluated is assured through the use of the following common elements.

### 1. Use of the *Framework of Results and Key Success Factors*

All evaluations will be conducted using the *Framework of Results and Key Success Factors* as the methodological basis of assessing success and addressing overall review issues. The Framework is designed to generate a consistent body of information which can be aggregated across a number of projects. It consists of three sections:

- ✓ **Results**, a descriptive presentation of the progress towards achievement of objectives and results (both intended and unintended) at the levels of outputs, outcomes and impact;
- ✓ **Development Factors**, an analytical appreciation of the *developmental effectiveness* of the project results, particularly in terms of the differences the project has made in the lives of beneficiaries;
- ✓ **Management Factors**, an analytical appreciation of project delivery and management elements that may explain why the project was successful or not.

The use of the Framework will be conditioned on the nature of the project being evaluated. Use of judgement in adopting the Framework will be a key ingredient in its successful application. The BHN Performance Review therefore adds an additional section, **External Factors**, in order to more adequately address the larger context within which the project was carried out.

### 2. Presentation of qualitative and quantitative project results

The achievement of results is assessed by comparing actual versus intended results according to indicators defined in project documents at the three levels of the LFA. In those cases where results were poorly or incompletely defined in the project documents, the project evaluation team develops suitable indicators on the basis of principal stakeholder commentary. Unintended results – both positive and negative – are documented on the basis of available information from interviews and document review.

- Project results are presented in common format, a *Results Grid*, according to *level* (macro, meso, micro) and *time horizon* (outputs, outcomes, effects). This descriptive presentation provides a succinct overview of project results, both intended and unintended, in the partner country and in Canada. Evaluative conclusions concerning the *significance* of these results will be addressed in the final report as part of the *overall performance* of the project (see Item 5 below).



- Where adequate information exists, the evaluation team situates results achieved with reference to more global objectives such as CIDA thematic/sector policies, ODA policy and priorities, and/or global BFN objectives.

### 3. Use of Key Success Factors to explain the *why* and the *how* of the results documented

Comparability of evaluation results requires a high level of prior agreement on the definition and relative importance of a large number of variables, most of which are qualitative in nature. Given the essential role of each Key Success Factor in producing the results documented, it is necessary to measure the relative contribution of each Factor, in terms of its strength and/or weakness. This is accomplished by assessing the project's compliance with the indicators for each Success Factor, a process in three steps.

- The evaluation teams, in consultation with the CIDA staff responsible for the Review, develop and use common definitions and understandings of Key Success Factors and their supporting indicators, as they apply to the portfolio of projects to be evaluated and the thematic interest of the Review. Additional indicators have been added to those already cited in the *Framework*.
- A ranking system is used to determine the degree of achievement of each indicator. The ranking system consists of a series of descriptive statements, representing a range of situations that illustrate the criterion in question. The range of situations extends from the "ideal" to the "worst case" scenario. The statements are drafted in terms that make them applicable across the full portfolio of projects evaluated.

The various evaluation teams will select the statement that best describes their assessment of the project status according to each indicator. The evaluation team's assessment according to each indicator will be supported by a concise presentation of the supporting evidence, argument, or demonstration.

### 4. Judging the impact of External Factors

Recognising that external factors (beyond project control) do affect the results obtained, a project's performance rating is adjusted to take into consideration external factors affecting results. The achievement of results in the face of constraints is a sign of greater project performance than the achievement of results when blessed with fortuitous opportunities that amplify results. Such a consideration is necessary to make projects with few constraints comparable to those with greater constraints.

When external factors totally impede the achievement of project results, project performance is calculated on the basis of success factors only. When no causal relationship can be identified (through documentation, observation or interview), the evaluation team notes the external factors at play without judging their impact on project results.

- The following examples of external factors have been shown to exert positive and negative influence on project results and are particularly targeted for assessment:





- ✓ compliance with counterpart agreements on the part of the national government (i.e.; funds, staff, project support);
- ✓ significant political, economic, and/or social change;
- ✓ climatic and geographic conditions.

## 5. Assessment of overall project performance

An assessment of overall project performance is provided in a synthesis of the findings concerning results, development factors, management factors and external factors. The professional judgement of the evaluation team will be brought to bear on this issue, framed in formats common to all the evaluations in the Review portfolio.

- Project results at three levels (outputs, outcomes, effects) are judged according to a four-point scale : *Significant, Notable, Limited, Negligible*. The contribution of outputs to outcomes, and of outcomes to goal-level objectives, is also commented on.
- External factors are rated for their relative impact on project delivery and results achievement according to a four-point scale : *Significant impact, Notable impact, Limited impact, Negligible impact*, with a additional category, *Don't know*, for those situations where the evaluation team cannot reasonably attribute an impact on project results to external factors.
- The performance of each Development and Management Factor is the combined performance of its constituent indicators. The performance rating of each Factor is recorded one axis of a *performance diamond* (similar to the 'development diamond' used by the World Bank), with separate diamonds for Development Factors and Management Factors. The use of this technique will facilitate i) rapid comprehension of the strengths and weaknesses in success factors for each project evaluated, and ii) comparison of strengths and weaknesses among the projects in the BHN Performance Review portfolio.

## 6. Use of performance ratios

A number of ratios are used to express the relationship between different project elements in such a way as to synthesise information and facilitate comparison from one project to another. While the ratios are not "evaluative" as such, they provide useful quantitative statements to document evaluation findings. Nevertheless, the use of ratios depends on the availability of appropriate data.

- The following ratios are likely to be found in all evaluations in the BHN Performance Review portfolio; others may be added.
  - ✓ *outputs achieved vs. outputs planned, by component;*
  - ✓ *outcomes and effects achieved vs. outcomes and effects planned;*
  - ✓ *project investment (contribution from all sources) vs. results;*
  - ✓ *management costs vs. program costs;*
  - ✓ *expenditures on Canadian personnel vs. local personnel;*
  - ✓ *CIDA funds vs. funds from other sources;*
  - ✓ *external funds vs. local contribution;*
  - ✓ *gender disaggregation of project beneficiaries;*



- ✓ *gender disaggregation of project field teams; management and boards of implementing agencies.*
- Evaluation team members will calculate these ratios and rate them according to a five-point scale : *Very good, Good, Satisfactory, Unsatisfactory, Very Unsatisfactory.*

#### **7. Use of common data collection methods, analytical tools and formats**

The evaluations use a number of other common data collection methods, analytical tools and formats. These include :

- ✓ evaluation matrix (Issues and data sources);
- ✓ types of documents consulted;
- ✓ categories of respondents interviewed;
- ✓ thematic interview guides;
- ✓ stakeholder network mapping;
- ✓ Evaluation Report Table of Contents;
- ✓ Executive Summary format.



## MULTI-CRITERIA ANALYSIS GRID

### RESULTS

1.

Significant    Notable    Limited    Negligible

- Project outputs
- Project outcomes
- Project effects

2.

- \_\_\_\_\_ Project results are contributing to goal-level objectives
- \_\_\_\_\_ Project results contribute somewhat to goal-level objectives
- \_\_\_\_\_ Project results are not contributing to goal-level objectives

3.

- \_\_\_\_\_ Project outputs are consistent with intended outputs and produce expected outcomes
- \_\_\_\_\_ Project outputs are somewhat consistent with intended outputs and produce expected outcomes
- \_\_\_\_\_ Project outputs are somewhat consistent with intended outputs but do not produce expected outcomes

### EXTERNAL FACTORS

- \_\_\_\_\_ Negative impact is significant
- \_\_\_\_\_ Negative impact is notable
- \_\_\_\_\_ Negative impact is limited
- \_\_\_\_\_ Negative impact is negligible
- \_\_\_\_\_ Don't know

- \_\_\_\_\_ Positive impact is significant
- \_\_\_\_\_ Positive impact is notable
- \_\_\_\_\_ Positive impact is limited
- \_\_\_\_\_ Positive impact is negligible
- \_\_\_\_\_ Don't know



## DEVELOPMENT FACTORS

### □ RELEVANCE

(be assessed from the perspective of the results achieved, and not from the perspective of the project plan)

#### 1. Consistency with needs and priorities of targeted beneficiaries/country/region based on a sound understanding of the local context 40

- Project results are consistent with needs and priorities of targeted beneficiaries; project implementation and results are based on a sound understanding of the local context.
- Results are somewhat consistent with needs / priorities; the understanding of the local context is sound
- Results are somewhat consistent with needs and priorities, but the understanding of the local context is incomplete
- Results are inconsistent with needs and priorities; there is little or no understanding of the local context

#### 2. Consistency with CIDA policy, priorities and programs 20

- Project results are consistent with policy, priorities and program, and correspond to project's impacts and outputs
- Project results are somewhat consistent with policy, priorities and program, and respond somewhat to project's inputs and outputs
- Project results do not correspond to projects inputs and outputs and are somewhat consistent with policy, priorities and program,
- Do not correspond to input outputs are not consistent with policy, priorities and program

#### 3. Consistency with Canadian foreign policy, including potential benefits to Canada 20

- Results are consistent with Canadian foreign policy, with significant benefits to Canada
- Results are partially consistent with Canadian foreign policy, with some benefits to Canada
- Results not consistent with foreign policy, with some benefits for Canada
- Results are not consistent with foreign policy, with no benefits for Canada

#### 4. Consistency with the efforts of local organisations and other donors addressing the same needs or problems 20

- Project is fully consistent and/or complementary with efforts of other donors.
- Project is somewhat consistent and/or complementary
- Project is not consistent and/or complementary
- Project runs counter to the efforts of local organisations and other donors addressing the same needs or problems





□ **APPROPRIATENESS**

**1. Stakeholder satisfaction with and commitment to results and methods used to achieve them**  
35

- Fully satisfied with results and methods / showed active support during project implementation
- Somewhat satisfied with results and methods / showed active support during project implementation
- Somewhat satisfied with results and methods / limited commitment during project implementation
- Some dissatisfaction with results and methods / no commitment during project implementation
- Strong dissatisfaction to results and methods / resistance during project implementation

**2. Canadian capacity to provide goods and services required to achieve results** 15

- Full capacity to provide goods and services, as required, throughout full project cycle
- Satisfactory capacity to provide goods and services, as required, throughout full project cycle
- Limited capacity to provide goods and services, as required, throughout full project cycle
- Some capacity to provide goods and services, demonstrating improvement throughout project cycle
- Consistent and general incapacity to provide goods and services, throughout full project cycle

**3. Effective design and delivery of resources and services, responding to conditions, needs, problems**  
35

- Fully effective design/delivery of resources/services, responding to conditions/needs/problems
- Generally effective design/delivery of resources/services, responding to most conditions/needs/problems
- Somewhat effective design/delivery of resources/services, partially responding to conditions/needs/problems
- Generally ineffective design/delivery of resources/services, responding to few conditions/needs/problems
- Totally ineffective design and delivery of resources and services, poorly responding to conditions/needs/problems

**4. Application of lessons learned from development experience** 15

- Documented use of relevant lessons learned, applied throughout project cycle
- Timely use of relevant lessons learned to effect positive change in project strategy/management
- Untimely/ineffective use of lessons learned to effect change in project strategy/management
- No use of lessons learned in design and delivery
- Project designed and implemented in contradiction to lessons learned



## □ COST EFFECTIVENESS

### 1. Actual expenditures correspond to planned expenditures or significant variances fully justified

#### 1-A Allocation of costs to project priorities 30

- Project costs are fully in line with project priorities
- . . . largely in line . . .
- . . . partially in line . . .
- . . . largely inconsistent . . .

#### 1-B Allocation of costs to budget line items 15

- Actual expenditures correspond fully to planned/ revised expenditures
- Actual expenditures correspond somewhat to planned expenditures, significant differences are fully justified
- Actual expenditures correspond somewhat to planned expenditures, significant differences are not fully justified
- Actual expenditures correspond somewhat to planned expenditures, significant differences are not justified
- Actual expenditures do not correspond to planned expenditures, variances are not justified

#### 1-C Allocation of costs between program and overhead 15

- Administration and overhead are below 20%
- . . . 20% to 30%
- . . . 30% to 40%
- . . . 40% to 50%
- . . . over 50%

#### 1-D Relationship between costs and results 40

- Results achieved exceed planned, at lower cost
- Results achieved exceed planned, at cost
- Results and costs correspond to planning estimates
- Results lower than planned, at cost
- Results lower than planned, at higher cost
- No identifiable results at lower cost
- No identifiable results, at planned or higher costs



□ **SUSTAINABILITY**

1. **Stakeholders take charge of project activities** (understood to include all levels, i.e., both beneficiaries and implementers; communities, NGOs, government agencies, etc.) 40
  - All stakeholders take the full lead in project activities
  - All stakeholders participate in project activities as agents and/or actors
  - Some stakeholders participate in project activities
  - Disinterest in project activities on the part of important stakeholders
  - Hostility to project activities from influential and/or important stakeholders
  
2. **Commitment of sufficient financial resources to maintain project benefits** 15
  - Recurrent costs to maintain benefits are reasonably assured (budget commitment, cost recovery, user contribution, investment renewal)
  - Financial sustainability of project benefits integrated in project design and implementation, with partial success
  - Financial feasibility of maintaining project benefits determined and acted on as part of phase out strategy, with success uncertain
  - Inadequate resource pool, constituted *a l'improviste*, transferred at project close
  - No provision for recurrent and/or maintenance costs; no self-financing plan
  
3. **Adequate institutional capacity and on-going relevance to maintain project benefits** (understood to include both beneficiaries and local implementers) 15
  - Project benefits maintained by local institutions who have developed capacity at least in part through project activities
  - Responsibility for maintenance of project benefits assumed by local institutions with credibility but limited capacity
  - Responsibility for maintenance of project benefits assumed by local institutions with little credibility or capacity
  - Capability developed in local staff, but no institutional structure to profit from their experience
  - Project-dependent structures fall at project end; low capability transfer/development with local staff
  
4. **National and international environment conducive to maintenance of project benefits** 15
  - National/international environment strongly favourable to the maintenance of project benefits
  - ... somewhat favourable ...
  - ... a neutral factor ...
  - ... somewhat unfavourable ...
  - Dramatic tendencies/events put project benefits at risk
  
5. **Project results develop the capacity of targeted beneficiaries to maintain benefits** 15

Fully \_\_\_\_\_ Somewhat \_\_\_\_\_ Little \_\_\_\_\_ Not at all \_\_\_\_\_



## MANAGEMENT FACTORS

### □ PARTNERSHIP (refers to all vertical and horizontal interactions among project stakeholders)

#### 1. Active participation of recipients and beneficiaries 30

- All recipients and beneficiaries fully participate at all stages of the project
- Most recipients and beneficiaries participate in many / most stages of the project
- Sporadic and uneven participation of some recipients and beneficiaries in some stages of the project

#### 2. Project management structures are coherent with a partnership approach 30

- Management structures *encourage* the development of shared ownership and decision making, trust, and mutual gain
- Shared ownership and decision making, trust, and mutual gain develop *in spite of* management structures
- Management structures *impede* the development of shared ownership and decision making, trust, and mutual gain

#### 3. Major stakeholders share a common understanding of project objectives and purposes 10

- Strong common understanding, renewed periodically throughout the project
- Common understanding is assured at project outset and are unquestioned during project execution
- Some misunderstandings develop during project execution and are resolved
- Some misunderstanding develop during project execution, but are not resolved
- Major differences in understanding throughout the project

#### 4. Clear definition, understanding and acceptance of roles and responsibilities by project participants 10

- Roles and responsibilities are defined and documented, with periodic updating as required, supported by all participants
- Periodic informal dialogue and clarification of roles and responsibilities
- Periodic confusion over roles and responsibilities, with eventual resolution
- Periodic protest over roles and responsibilities, negatively affecting project performance
- On-going conflict over roles and responsibilities, at whatever level, endangers implementation

#### 5. Partners in management have appropriate authority and tools they need to make decisions and take action ("tools" : institutional capacity, human and other resources, and *savoir faire*) 20

- Coherence between authority and tools at all governance levels; management at all levels makes timely decisions and take informed action in favour of basic human needs
- Authority and means are largely coherent, but management is unable to act decisively in favour of basic human needs
- Authority / means mismatch lead to decisions and action that work against basic human needs





## □ INNOVATION & CREATIVITY

### 1. Experiment with new project design and procedures 25

- Experimentation leads to improved performance and institutional learning
- Experimentation leads to institutional learning but does not improve performance
- Experimentation leads to institutional learning but lessens performance
- Experimentation lessens performance and adds nothing to institutional learning
- Experimentation significantly risks project implementation and institutional performance

### 2. Calculated risk-taking to achieve results 25

- Documented risk analysis informs risk-taking that leads to improved results
- Risks are analysed and avoided with no effect on results achievement
- Fortuitous risk-taking leads to improved results
- Risks are taken which lessen the results achieved
- Risks avoidance decreases results achieved

### 3. New partnerships to achieve results 25

("New partnerships" is understood to include multilateral collaboration, internal CIDA arrangements, inter-sectoral Canadian collaboration, Canadian-local arrangements, and broad civil society participation, including local private sector)

- Inclusion of new partnerships contributes to improved intended and positive unintended results
- Inclusion of new partnerships contributes to improved intended results
- Inclusion of new partnerships has no apparent effect on intended results but contributes to positive unintended results
- Inclusion of new partnerships has no apparent effect on intended or unintended results

### 4. Lessons learned from innovation recorded, reported and disseminated 25

- Dissemination of lessons learned contributes diffusion of innovations and replication
- Lessons learned are disseminated without apparent diffusion or replication
- Lessons learned are reported to appropriate levels but they are not disseminated
- Lessons learned are recorded but not reported to appropriate levels for subsequent action
- Lessons learned are not recorded



## □ APPROPRIATE HUMAN RESOURCE UTILISATION

1. **Good match between project needs and knowledge, expertise and personal skills of all major project participants** ("Project participants" include both Canadian and partner country actors, at all levels of project management and implementation) **60**

Fully adequate match	Somewhat adequate match	Somewhat inadequate match	Completely inadequate match
-------------------------	----------------------------	---------------------------------	-----------------------------------

- Technical skills vs. Technical requirements of project
- Cross cultural experience to address cultural challenges
- Capacity to transfer skills and knowledge in a sustainable way
- Adaptation of the rhythm of project implementation to absorptive capacity of target groups and/or institutions

## 2. Adequate management of project personnel **40**

- Written, clear cut and comprehensive definitions of roles, tasks levels of authority and levels of communication regarding personnel management . . . : Exist\_\_\_ Partially\_\_\_ No\_\_\_
- Personnel management procedures are applied on a timely and supportive basis . . . : Consistently\_\_\_ Occasionally\_\_\_ Rarely\_\_\_ Not applied\_\_\_
- Program/project managers respond to needs of their personnel for timely support in the course of project implementation and/or to alleviate fundamental weaknesses in personnel that impede program/project implementation . . . :  
 Responsive and timely\_\_\_  
 Responsive but not timely\_\_\_  
 Somewhat responsive and timely\_\_\_  
 Somewhat responsive but not timely\_\_\_  
 Not responsive\_\_\_



**PRUDENCE & PROBITY**

**1. Sound financial management policies and procedures, including budgeting, accounting and reporting systems and practices 40**

SYSTEMS / PROCEDURES	APPROPRIATENESS			EFFECTIVENESS		
	Appropriate	Somewhat Appropriate	Inappropriate	Effective	Somewhat Effective	Ineffective
• Accounting						
• Budgeting						
• Reporting						
	JUSTIFICATION			RELEVANCE		
	Justified	Somewhat Justified	Not Justified	Relevant	Somewhat Relevant	Not Relevant
• Budget variances						

**2. Adequate strategies and practices respond to the nature and level of risk to project funds and assets 30**

- A)  There is a clear and written understanding of the level of risk for the project, and of their possible effects on project assets.  
 The understanding of risk is not clear, and there is no sound strategy to protect assets.  
 There is little or no understanding of risk and there is no sound strategy to protect assets.
- B)  All transactions concerning project assets are documented and include appropriate internal control procedures and mechanisms to protect assets.  
 Transactions concerning project assets are somewhat documented, but there are incomplete internal control procedures and there is little or no mechanisms to protect assets.  
 Transactions are rarely or altogether not documented; there are few or no internal control mechanisms and no mechanisms to protect assets.

**3. Contracting and contract management in accordance with sound contracting policies and practices 30**

- A) Contract procedures are applied:  Rigorously  Partially  Poorly
- B) Definitions provided in contracts of goods and services required are:  
 Well defined  Somewhat defined  Poorly defined
- C) The relationship between the quality / quantity of goods and services and contract costs are:  
 Relevant and cost effective  Somewhat relevant and marginally cost effective  
 Not relevant and not cost effective
- D)  Contracts include clear definition of roles, responsibilities and accountability for quantity/quality delivery, with adequate holdback mechanisms.  
 Definitions of roles, responsibilities and accountability are less clearly defined, with weak holdback mechanisms.  
 Definitions of roles, responsibilities and accountability are unclear; there are no holdback mechanisms.



**□ INFORMED & TIMELY ACTION****1. Effective networks and processes to identify and assess important trends and events in the project environment 40**

- Project management has adequate information, in timely fashion, with appropriate capability to assess
- Project management is informed of trends and events, but lacks capability to analyse and assess
- Project is not informed in timely fashion
- Project is isolated from its environment

**2. Effective monitoring and reporting systems 30**

- Monitoring/reporting system fulfils management and funding agency's information requirements
- Systems are largely adequate for management and funding agency's requirements
- Systems are minimally adequate for local management, but inadequate for CEA and/or CIDA
- Systems are inadequate for management requirements at any level
- Systems mislead management at all levels

**3. Appropriate and timely response to opportunities and problems 30**

- Project management is highly responsive to opportunities and problems, acting on the basis of sound information
- Project management is attuned to opportunities and problems, but lacks capacity to act
- Project management has the capacity to act, but remains unresponsive to opportunities and problems





## **Attachment 8**

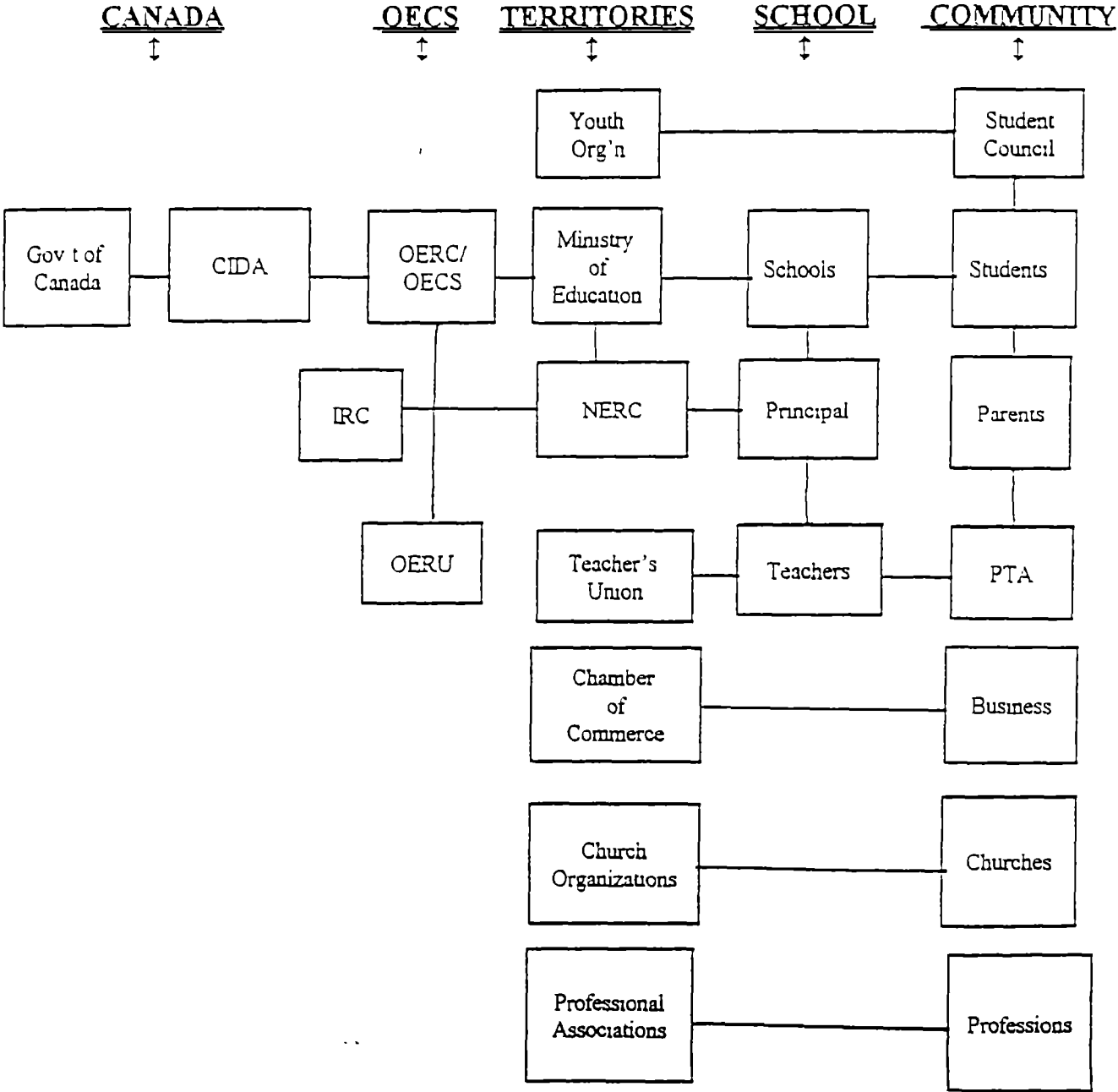
### **PERFORMANCE RATIOS**

- Percentage outputs achieved versus planned, by component
- Percentage outcomes and effects achieved versus planned
- Costs versus Results
- Tied versus Untied Expenditures
- Management costs versus Program costs
- Expenditures on Canadian personnel versus Local personnel
- Value of benefits versus project budget
- Value of benefits to targeted beneficiaries as a percentage of total budget
- Funds from CIDA versus funds from other sources
- External funds raised versus local funds contributed/raised
- Gender disaggregation of project beneficiaries
- Gender disaggregation of project field teams
- Gender disaggregation of management, boards of implementing agencies



Attachment 9

ECERP Stakeholder Network





Data Collection Methods						
Issues	Indicators	Document Review	Interviews in Canada	Interviews in Country	Site Visits in Field	Focus Groups in Field
1. Methodology	-Workplan	x	x	x		
I. RATIONALE						
2. Development Context	-HDI data	x	x	x		
	-BHN data	x	x	x		
	-Gov plans/policies	x	x	x		
	-UNDP annual report	x	x	x		
	-Donor working group minutes	x	x	x		
	-NGO reports	x	x	x		
	-Business association reports	x	x	x		
3. CIDA's Country Policy	-CIDA priorities	x	x	x		
	-Country framework	x	x	x		
	-CIDA policies	x	x	x		
II PROJECT DESCRIPTION						
4. Project Description	-Logical Framework Analysis	x	x	x		
	-Chronology of events	x	x	x		
	-Disbursements	x	x	x		
	-Evaluation, review and monitoring issues	x	x	x		
	-Baseline/benchmark data	x	x	x		
	-Stakeholder network	x	x	x		



Data Collection Methods						
Issues	Indicators	Document Review	Interviews in Canada	Interviews in Country	Site Visits in Field	Focus Groups in Field
<b>III PROJECT PERFORMANCE</b>						
5. Results Achieved	-Outputs (Objectives-Level)	x	x	x	x	x
	-Outcomes (Purpose-Level)	x	x	x	x	x
	-Effects (Goal-Level)	x	x	x	x	x
	-Actual vs. intended	x	x	x	x	x
	-Unintended results	x	x	x	x	x
	-Benefits to Canada	x	x	x	x	x
	-Perceptions of stakeholders on results	x	x	x	x	x
<b>6. Development Factors</b>						
-Relevance	-Consistency with needs of beneficiaries	x	x	x	x	x
	-Consistency with CIDA policies, etc.	x	x	x		
	-Consistency with Canadian foreign policy	x	x	x		
	-Consistency with efforts of local organizations/ other donors	x	x	x	x	x
-Appropriateness	-Stakeholder satisfaction	x	x	x	x	x
	-Canadian capacity	x	x	x	x	
	-Effective services	x	x	x	x	x
	-Application of lessons learned	x	x	x	x	x





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Data Collection Methods						
Issues	Indicators	Document Review	Interviews in Canada	Interviews in Country	Site Visits in Field	Focus Groups in Field
-Cost-effectiveness	-Actual vs planned expenditures	x	x	x		
	-Allocation of costs to budget line items	x	x	x		
	-Programs vs overhead costs	x	x	x		
	-Costs and results	x	x	x		
-Sustainability	-Stakeholders take charge	x	x	x	x	x
	-Sufficient financial resources	x	x	x		
	-Adequate institutional capacity	x	x	x	x	x
	-Conducive environment	x	x	x		
	-Results develop capacity	x	x	x	x	x
<b>7. Management Factors</b>						
-Partnership	-Active participation	x	x	x	x	x
	-Orientation of structures	x	x	x	x	x
	-Common objectives shared by stakeholders	x	x	x	x	x
	-Roles and responsibilities understood	x	x	x	x	x
	-Partners have appropriate tools and authority	x	x	x	x	x
- Human Resource Utilization	-Good match between project needs and participant skills	x	x	x	x	x
	-Adequate management of project personnel	x	x	x	x	



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Data Collection Methods						
Issues	Indicators	Document Review	Interviews in Canada	Interviews in Country	Site Visits in Field	Focus Groups in Field
-Innovation and Creativity	-Experimentation	x	x	x	x	x
	-Risk-taking	x	x	x	x	x
	-New partnerships	x	x	x	x	x
	-Lessons learned from innovation	x	x	x	x	x
-Prudence and Probity	-Sound financial management policies	x	x	x		
	-Adequate risk management strategies	x	x	x		
	-Sound contracting policies and practices	x	x	x		
Informed and Timely Action	-Identification of trends and events in project environment	x	x	x		
	-Effective monitoring and reporting systems	x	x	x	x	
	-Responses to opportunities and problems	x	x	x	x	x
8. External Factors	-Significant change (political, economic, social)	x	x	x		
	-Climatic/geographic conditions	x	x	x		
	-National government policies and action	x	x	x		
	-Other external factors	x	x	x		
9. Overall Project Performance	-Summary analysis	x	x	x	x	x
	-Multi-Criteria Analysis rankings	x	x	x	x	x
	-Performance ratios	x	x	x	x	x
	-Major constraints	x	x	x	x	x
	-Unique models and approaches	x	x	x	x	x



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Data Collection Methods

Issues	Indicators	Document Review	Interviews in Canada	Interviews in Country	Site Visits in Field	Focus Groups in Field
IV BHN THEMES AND ISSUES	<ul style="list-style-type: none"> <li>-Capacity development</li> <li>-Strengthening groups in need</li> <li>-Gender equity</li> <li>-Cultural dimension</li> <li>-Poverty alleviation</li> <li>-Governance, democracy, rights</li> <li>-Mobilization and utilization of resources</li> <li>-Contribution to international targets</li> <li>-Other issues</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li></li> <li></li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li>x</li> <li></li> <li></li> <li></li> </ul>
V LESSONS AND RECOMMENDATIONS  11. Lessons Learned and Recommendations	<ul style="list-style-type: none"> <li>-For policies</li> <li>-For country programs</li> <li>-For projects</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> </ul>	<ul style="list-style-type: none"> <li>x</li> <li>x</li> <li>x</li> </ul>



## Attachment 11

### Sample Interview Guide

- 1 *Introduction:* Thank you for taking the time to meet with us/me today. CIDA is conducting an international review of its work in basic human needs, which includes: primary health care, basic education, family planning, water and sanitation, and shelter. This project has been selected for detailed study.
  
2. *Background:* Can you summarize for me your involvement in this project. When did you first become involved? What role (s) have you played?
  
  
  
  
  
  
  
  
  
  
- 3 *Assessment of Project Strengths and Weaknesses:* In your view, what have been the major strengths and weaknesses of this project?





4. *Results:* What have been the most significant results achieved by this project? For you, what are the most important indicators of these results? (Can you give examples/provide more details?)

5. *Obstacles:* What obstacles has the project encountered in achieving its results? Please give examples)



6. *Success Factors:* In terms of explaining the success/failure of the project, can you comment on one or more of the following:

Development Factors

- Relevance
- Appropriateness
- Cost-Effectiveness
- Sustainability

Management Factors

- Partnership/Participation
- Innovation and Creativity
- Appropriate Human Resources Utilization
- Prudence and Probity
- Informed and Timely Action

7. *Lessons:* In your view, what lessons does this project offer for people involved in development?

\_\_\_ For Policies      \_\_\_ For Country Programs      \_\_\_ For Projects

- Planning/Design
- Contracting
- Implementation
- Evaluation and Monitoring



8. *Recommendations:* What recommendations would you make to strengthen/improve the project's performance in the future?

9. *Other Comments:* Are there other comments that you wish to make on any other aspect of the project?

10. Thanks Thank you very much for your time We will be producing a report, and the Canadian Embassy/High Commission will make copies of the Executive Summary of that report available to the people we have spoken with for this study.

Date

Location

Interviewer(s)





ANNEX III: REVISED (DRAFT) PCR

# *Project Closing Report*

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- *Revision #64*
- *26 May 1997 (12:36)*
- *Performance Review Division*

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# § Project Description and Tombstone Data

## B) Project Description

### A) Tombstone Data

1	Type (circle one):	Annual	PCR
2	Date		
3	Branch		
4	Project Number		
5	Country		
6	Project Name		
7	Total Project Budget		
8	Business Line		
9	Total Disb. to Date		
10	Total Disb. This Year		
11	Project Dates		
12	Canadian Partner		
13	Primary Priority		
14	Branch Expected Result		
15	Other Objectives		
Bilateral SuccessFactors Used to Complete this Report : Yes No			

Officer's Name:

Signature:

Director's Name:

Signature:

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# § Results

## I. Achievement of Results

What progress toward results was made at the impact, outcome and output levels?

### Results for Partner Country

1. Please indicate the actual or reasonably likely impact this project has made/will make relative to (each of) its goal(s):

i) Expected Impact (Goal-Level):

\_\_\_\_\_  
\_\_\_\_\_

ii) Actual Impact or Reasonably Anticipated Impact (Please include any unanticipated impacts):

\_\_\_\_\_  
\_\_\_\_\_

iii) Indicators of Achievement of Impact:

Indicator Name	Baseline	Target	Actual

iv) Degree of Achievement of Goal:    Percent Achieved to-date:

- Highly Satisfactory
- Satisfactory
- Unsatisfactory
- Highly Unsatisfactory

v) Comments and Explanation:

\_\_\_\_\_  
\_\_\_\_\_

2. Please indicate the progress this project has made relative to each of its purposes:

i) Expected Outcome (Purpose-Level)

\_\_\_\_\_  
\_\_\_\_\_

ii) Actual Outcome or Reasonably Anticipated Outcome (Please include any unanticipated outcomes)

\_\_\_\_\_  
\_\_\_\_\_

iii) Indicators of Achievement of Outcome

Indicator Name	Baseline	Target	Actual

iv) Degree of Achievement of Purpose:    Percent Achieved to-date:

- Highly Satisfactory
- Satisfactory
- Unsatisfactory
- Highly Unsatisfactory

v) Comments and Explanation:

\_\_\_\_\_  
\_\_\_\_\_

3. Please indicate the progress this project has made relative to each of its expected outputs:

i) Expected Result (Output-Level)

\_\_\_\_\_  
\_\_\_\_\_

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ii) Actual Output-Level Expected Result (Please include any unanticipated results):

\_\_\_\_\_

\_\_\_\_\_

iii) Indicators of Achievement of Output/Result

Indicator Name	Baseline	Target	Actual

iv) Degree of Achievement of Output: Percent Achieved to-date:

- Highly Satisfactory
- Satisfactory
- Unsatisfactory
- Highly Unsatisfactory

v) Comments and Explanation:

\_\_\_\_\_

\_\_\_\_\_

4. Has this project had any notable unintended results:

i) Unintended Positive Results:

- Yes
- No
- Not applicable

Comments:

\_\_\_\_\_

\_\_\_\_\_

ii) Unintended Negative Results:

- Yes
- No
- Not applicable
- No response

Comments:

\_\_\_\_\_

\_\_\_\_\_

5. Please indicate the impact of this project on the following major stakeholder groups:

i) Project Partner:

\_\_\_\_\_

\_\_\_\_\_

ii) Intended Beneficiaries:

\_\_\_\_\_

\_\_\_\_\_

iii) Others:

\_\_\_\_\_

\_\_\_\_\_

6. If possible, please indicate how each of the following target groups in the recipient country or region directly benefited from this project:

Children:

\_\_\_\_\_ No. of Children  
 \_\_\_\_\_ No. of Girls  
 \_\_\_\_\_ No. of Boys

Youth:

\_\_\_\_\_ No. of Youths  
 \_\_\_\_\_ No. of Males  
 \_\_\_\_\_ No. of Females

Women:

\_\_\_\_\_ No. of Women (as compared to )  
 \_\_\_\_\_ No. of Men

Families:

\_\_\_\_\_ No. of Families

Comments:

\_\_\_\_\_

\_\_\_\_\_

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7. Please rate the actual or reasonably likely development impact of this project in the following areas:

Priority/Sub-Priority	No Impact	Minor Impact	Moderate Impact	Significant Impact	Very Significant Impact
<b>01- Basic Human Needs</b>					
0101- Primary Health Care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0102- Basic Education	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0103- Family Planning and Reproductive Health Care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0104- Nutrition	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0105- Nutrition - Emergency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0106- Water and Sanitation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0107- Shelter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0199- Integrated BHN	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>02 - Women In Development</b>					
0201- WID-integrated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0202- WID-specific	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>03 - Infrastructure Services</b>					
0301- Energy Services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0302- Telecommunications and Information Services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0303- Transportation Services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0304- Water, Sanitation, and Irrigation Infrastructure Services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>04 - Human Rights, Democracy, Good Governance</b>					
0401- Protection and Promotion of Human Rights	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0402- Democratic Institutions and Practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0403- Public Sector Competence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0404- Civil Society's Policy Role	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Priority/Sub-Priority	No Impact	Minor Impact	Moderate Impact	Significant Impact	Very Significant Impact
0405- Political Will of Governments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>05 - Private Sector Development</b>					
0501- Private Sector Enabling Environment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0502- Capacity, Skills, and Productivity Enhancement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0503- Canadian and Developing Countries Private Sector Linkages	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0504- Local Enterprises	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0505- Economic Integration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>06 - Environment</b>					
0601- Environmental Conservation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0602- Pollution Prevention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0603- Pollution Control and Remediation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0604- Capacity Development in Environmental Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
0605- Environmental Analysis and Assessments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>09 - Other</b>					
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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## Benefits to Canada

### 8. Canadian Prosperity and Employment:

i) Have there been any impacts (benefits or negative impacts) resulting from this project in the area of Canadian prosperity and employment (rated relative to the scale of this project):

- Yes
- No
- Not applicable

Comments:

---

---



# § Development Performance Factors

## I. Relevance

Did project activities make sense in terms of the conditions, needs or problems to which they were intended to respond?

### 9. Consistency with Development Needs, Plans and Priorities:

i) Please rate the consistency of the project with the development needs, plans and priorities in the partner country (at project closing).

<u>DCPO</u> <u>Country/Region</u>	<u>Main Beneficiary</u> <u>Group(s)</u>	
<input type="radio"/>	<input type="radio"/>	Highly consistent
<input type="radio"/>	<input type="radio"/>	Consistent
<input type="radio"/>	<input type="radio"/>	Inconsistent
<input type="radio"/>	<input type="radio"/>	Highly inconsistent
<input type="radio"/>	<input type="radio"/>	Not applicable

Evidence & Comments:

\_\_\_\_\_

ii) If needs, plans or priorities in the partner country have changed, was action taken to address this change?

- Corrective action taken
- No corrective action taken
- Not applicable

Comments:

\_\_\_\_\_

10. Please indicate how the project corresponded to the terms of CIDA's major policies:

#### i) Policy on Poverty Reduction:

- Targeted poverty program;
- Poverty-focused program;
- Policy intervention;
- Not applicable;

Comments:

\_\_\_\_\_

#### ii) Policy for Environmental Sustainability

- To increase capacity to manage local environment;
- To strengthen capability to solve global problems;
- Not applicable;

Comments:

\_\_\_\_\_

#### iii) Policy on Women in Development and Gender Equity

- Increase women's participation in decision-making;
- Improve women's income levels and economic conditions;
- Improve women's access to basic health and family-planning services;
- Improve women's levels of education;
- protect and promote the human rights of women;
- Not applicable;

Comments:

\_\_\_\_\_



**iv) Policy on Human Rights, Democratisation, and Good Governance**

CIDA will seek to strengthen:

- the role and capacity of civil society;
- democratic institutions and responsible government;
- the competence of the public sector;
- the capacity of human rights organisations;
- the will of leaders to respect rights, rule democratically, and govern effectively;
- Not applicable;

Comments:

\_\_\_\_\_

**11. How did this project relate to the work of other groups active in the project region?**

	<u>Other Donors</u>	<u>(Other) Local Government Agencies</u>	<u>NGOs</u>	<u>Other (specify)</u>
Complemented their work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Completed their work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Competed with their work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Duplicated their work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
'Leveraged' their	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
'Mitigated' the effects of	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
No relation to their work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Explanation & Comments:

\_\_\_\_\_

**II. Appropriateness**

Were the project resources, capacities, and selected strategies sensible and sufficient to achieve intended results?

**12. How did this project address the challenge of ensuring and maintaining appropriateness to context?**

- Participatory Design
- Participatory Implementation
- Local Executing Agency
- Local Advisory Committee or Board
- Local Consultants
- Project designed locally
- Other:

Not applicable

Explanation & Comments:

\_\_\_\_\_

**13. Satisfaction with Results**

i) Please estimate the level of satisfaction of DCPO and beneficiaries with the results of this project:

<u>DCPO</u>	<u>Beneficiaries</u>	<u>Level of Satisfaction</u>
<input type="radio"/>	<input type="radio"/>	Very Satisfied
<input type="radio"/>	<input type="radio"/>	Reasonably Satisfied
<input type="radio"/>	<input type="radio"/>	Reasonably Unsatisfied
<input type="radio"/>	<input type="radio"/>	Very Unsatisfied

Explanation & Comments:

\_\_\_\_\_

ii) Please identify any groups that are not satisfied with the results of this project:

\_\_\_\_\_

Explanation & Comments:

\_\_\_\_\_



### 14. Recognition and Utilisation of Canadian strengths

i) Classify the Canadian strength that this project utilised (*you may select more than one category*):

**Technology:**

- Advanced technology
- Niche technology
- Especially appropriate technology
- Inexpensive technology
- Other:

**Expertise:**

- Advanced expertise
- Niche or specialised expertise
- Especially appropriate expertise
- Inexpensive expertise
- Other:

**Local Knowledge:**

- Access to decision-makers
- Special historical involvement
- Involvement of unique individual(s)
- CEA with special local knowledge
- English/French bilingualism
- Other:

Explanation & Comments:

\_\_\_\_\_

## III. Cost-Effectiveness

*Was the relationship between costs and results reasonable?*

15. Was this project delivered in an effective manner?

- Yes
- No

Explanation & Comments:

\_\_\_\_\_

16. Are the results or reasonably predictable results of this project worth the expenditures incurred?

- Very Worthwhile
- Worthwhile
- Not Worthwhile

Explanation & Comments:

\_\_\_\_\_

## IV. Sustainability

*Will project benefits continue after completion of project activities?*

17. Is access to financial resources to sustain or achieve the results of this project assured for the short-to medium-term?

- Access Assured
- Access Reasonably Assured
- Access Doubtful
- No Access to Finances
- Access Not Necessary
- Not Applicable

Explanation & Comments:

\_\_\_\_\_

18. Does the Developing Country Partner Organisation or Beneficiaries have adequate capacity to sustain the results of this project in the short-to medium-term?

<u>DCPO</u>	<u>Beneficiaries</u>	
<input type="radio"/>	<input type="radio"/>	Capacity More than Adequate
<input type="radio"/>	<input type="radio"/>	Capacity Adequate
<input type="radio"/>	<input type="radio"/>	Capacity Inadequate
<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

\_\_\_\_\_





**19. Were there any unforeseen occurrences or events during the implementation of this project that might affect the potential sustainability of project results?**

- Yes
- No
- No response

**Explanation & Comments:**

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**20. All in all, do you feel that the actual or reasonably anticipated benefits of this project are likely to be sustainable over at least the next five years?**

- Highly Likely
- Likely
- Doubtful
- Clearly Unlikely

**Explanation & Comments:**

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# § Management Performance Factors

## I. Partnership

*Was there shared responsibility and accountability for project results?*

21. Please indicate how the following stakeholders groups participated at different stages of the project:

<u>L/CEA</u>	<u>DCPO</u>	<u>CIDA</u>	<u>Beneficiaries</u>	<u>Project Component</u>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Design
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Management of Implementation
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Monitoring of Implementation
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Evaluation Results
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Utilisation of Results
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

22. Please characterise the level of involvement of CIDA in project decision-making:

- Too much involvement
- Appropriate involvement
- Too little involvement
- No involvement

Explanation & Comments:

23. Were the roles and responsibilities of the major project participants clearly defined and understood?

<u>L/CEA</u>	<u>DCPO</u>	<u>CIDA</u>	<u>Beneficiaries</u>	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Yes
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	No
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

24. What mechanisms or techniques were used in this project to maintain a common vision and clear understanding of roles and responsibilities?

- Participatory design/management
- Independent monitor
- Regular project 'oversight' meetings
- Evaluation
- Joint steering committee or board
- 'Charismatic' leadership
- Other:

Explanation & Comments:

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## II. Innovation and Creativity

Did the project explore new ideas and approaches to achieve its results?

25. Please indicate if any of the following aspects of this project were innovative or creative:

- Design Process
- Monitoring
- Governance
- Partners/Partnership
- Delivery Mechanism
- Technology
- Region
- Management
- Other:

Explanation & Comments:

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27. Please rate the overall human resource management of the project:

<u>DCPO</u> <u>Side</u>	<u>U/CEA</u> <u>Side</u>	
<input type="radio"/>	<input type="radio"/>	Excellent
<input type="radio"/>	<input type="radio"/>	Good
<input type="radio"/>	<input type="radio"/>	Poor
<input type="radio"/>	<input type="radio"/>	Very poor
<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

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## IV. Prudence and Probity

Was financial information complete, accurate, and reliable? Were financial resources used economically?

28. Please rate the quality of the financial management of this project:

<u>DCPO</u> <u>Side</u>	<u>U/CEA</u> <u>Side</u>	
<input type="radio"/>	<input type="radio"/>	Excellent
<input type="radio"/>	<input type="radio"/>	Good
<input type="radio"/>	<input type="radio"/>	Poor
<input type="radio"/>	<input type="radio"/>	Very Poor

Explanation & Comments:

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## III. Appropriate Human Resource Utilisation

Were suitable human resources involved and used well?

26. Please rate the overall suitability of the human resources devoted to the management of this project:

(suitability = good match between project needs and knowledge, expertise, and personal skills)

<u>DCPO</u> <u>Side</u>	<u>U/CEA</u> <u>Side</u>	
<input type="radio"/>	<input type="radio"/>	Excellent
<input type="radio"/>	<input type="radio"/>	Good
<input type="radio"/>	<input type="radio"/>	Poor
<input type="radio"/>	<input type="radio"/>	Very poor
<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

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29. Please identify the top three risk factors in this project:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Pick List:

- Local Conflicts
- National Politics
- Canadian Politics
- Technology
- National markets
- Financial Resources
- No Risk factors
- Local Politics
- International Politics
- Climate
- International markets
- Human Resources
- Institutional capacity

Explanation & Comments:

\_\_\_\_\_

\_\_\_\_\_

30. What techniques, strategies were used in this project for minimising exposure to risk?

- Participatory design
- Careful monitoring
- Regular project 'oversight' meetings
- Technical advisor(s)
- Evaluation
- Joint steering committee or board
- 'Charismatic' leadership
- None used
- Other:

\_\_\_\_\_

Explanation & Comments:

\_\_\_\_\_

\_\_\_\_\_

## V. Informed and Timely Action

Did we anticipate and respond to change based on adequate information?

31. Did CIDA and the Executing Agency have adequate information on which to base decisions?

CIDA	L/CEA	
<input type="radio"/>	<input type="radio"/>	Fully Adequate
<input type="radio"/>	<input type="radio"/>	Adequate
<input type="radio"/>	<input type="radio"/>	Inadequate
<input type="radio"/>	<input type="radio"/>	Not applicable

Explanation & Comments:

\_\_\_\_\_

\_\_\_\_\_

32. Monitoring

i) What approach to monitoring was used in this project?

- Monitoring by Beneficiary Group
- Stakeholder Monitoring Team
- Regular Monitoring by CIDA Post
- Regular Monitoring by CIDA PTL
- External Canadian Technical Monitor(s)
- External Local Technical Monitor(s)
- CIDA Technical Monitor(s)
- External Canadian Project Monitor
- External Local Project Monitor
- Monitor Contracted by Executing Agency
- No Monitoring
- Other:

\_\_\_\_\_

Explanation & Comments:

\_\_\_\_\_

\_\_\_\_\_





**33. Did CIDA and the Executing Agency take appropriate and timely action to respond to changes in the project operating context?**

- | <u>CIDA</u>           | <u>I/CEA</u>          |                      |
|-----------------------|-----------------------|----------------------|
| <input type="radio"/> | <input type="radio"/> | Highly Responsive    |
| <input type="radio"/> | <input type="radio"/> | Responsive           |
| <input type="radio"/> | <input type="radio"/> | Unresponsive         |
| <input type="radio"/> | <input type="radio"/> | Totally Unresponsive |
| <input type="radio"/> | <input type="radio"/> | Not applicable       |

Explanation & Comments:

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**34. Please rate the overall quality of the reporting by the Executing Agency:**

- | <u>Support to Decisions</u> | <u>Completeness</u>   | <u>Conciseness</u>    | <u>Timeliness</u>     |                |
|-----------------------------|-----------------------|-----------------------|-----------------------|----------------|
| <input type="radio"/>       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Excellent      |
| <input type="radio"/>       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Good           |
| <input type="radio"/>       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Poor           |
| <input type="radio"/>       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Unsatisfactory |
| <input type="radio"/>       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Not Applicable |

Explanation & Comments:

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# § Annex A: Canadian Benefits

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## I. Direct Contracts

Contract # 1:

\_\_\_\_\_ Company Name  
\_\_\_\_\_ Contract Type  
\_\_\_\_\_ Contract Value (\$)  
\_\_\_\_\_ Estimated Employment Impact (PY)

## II. Sub-Contracts

Contract # 1:

\_\_\_\_\_ Company Name  
\_\_\_\_\_ Contract Type  
\_\_\_\_\_ Contract Value (\$)  
\_\_\_\_\_ Estimated Employment Impact (PY)

## III. Spin-Off Bids

Contract # 1:

\_\_\_\_\_ Company Name  
\_\_\_\_\_ Contract Type  
\_\_\_\_\_ Contract Value (\$)  
\_\_\_\_\_ Estimated Employment Impact (PY)



# RESULTS-BASED MANAGEMENT IN CIDA

## ▪ Policy Statement ▪

### ▪ Introduction

*Canada in the World* establishes four clear commitments for Canada's ODA program<sup>1</sup>:

- a clear mandate and set of six ODA priorities;
- strengthened development partnerships;
- improved effectiveness; and
- better reporting of results to Canadians.

CIDA is committed to improving the impact of its work and to achieving increased efficiency and effectiveness in achieving that impact. CIDA launched its Corporate Renewal initiative in 1994 with these aims in mind. CIDA's adoption of results-based management (RBM) as its main management tool will allow it to systematically address these commitments.

CIDA has always pursued development results. The RBM approach will assist CIDA in its efforts towards continuous improvement in results-orientation, focus, efficiency and accountability. RBM will also be an important element in CIDA's continuing development as a learning organization. The process of developing RBM will be iterative and will build on pilot programs now in progress across the Agency.

The purpose of this Policy Statement is to outline:

- the basic RBM policy and principles for CIDA; and
- a common vocabulary on RBM (Annex A).

This policy should be viewed in conjunction with CIDA's Accountability Framework.

### ▪ What is results-based management?

A result is a describable or measurable *change* resulting from a cause-and-effect relationship. By results-based management, we mean:

- defining realistic expected results, based on appropriate analyses;
- clearly identifying program beneficiaries and designing programs to meet their needs;
- monitoring progress towards results and resources consumed, with the use of appropriate indicators;
- identifying and managing risks, while bearing in mind expected results and the necessary resources;
- increasing knowledge by learning lessons and integrating them into decisions; and
- reporting on results achieved and the resources involved.

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<sup>1</sup> In addition, CIDA recently welcomed the international assistance program for the Former Soviet Union/Central and Eastern Europe (FSU/CEE).



## ▪ Policy Statement

Results-based management is integral to the Agency's management philosophy and practice. CIDA will systematically focus on results to ensure that it employs management practices which optimize value for money and the prudent use of its human and financial resources. CIDA will report on its results in order to inform Parliament and Canadians of its development achievements.

## ▪ Scope

Best efforts will be made to ensure that this results-based management policy and its principles will be applied to all Agency programs and operations. RBM will guide all managers and staff, bearing in mind the changing circumstances facing CIDA in the developing world and the role played by CIDA's partners in achieving results.

## ▪ Principles

### ▪ Simplicity

The RBM approach implemented by CIDA will be easy to understand and simple to apply.

### ▪ Learning by Doing

CIDA will implement RBM on an iterative basis, refining approaches as we learn from experience. CIDA will prepare all CIDA managers and staff to implement RBM by providing appropriate, timely and cost-effective training.

### ▪ Broad Application

CIDA will identify expected results and performance indicators for its programs and projects, where feasible, while striving to find a pragmatic balance between the use of qualitative and quantitative indicators. It will develop cost-effective means to monitor and measure results and learn from the best practices of the international community.

### ▪ Partnership

CIDA will identify, in collaboration with our partners, our respective roles and responsibilities. CIDA will share the responsibility for achieving results at the program and project levels with our partners in Canada and in developing countries. CIDA will work with its partners to ensure a common understanding of the principles of RBM.

### ▪ Accountability

CIDA will provide a work environment where individuals accept that their accountability includes delivering on results. An essential feature will be that managers will promote a focus on results in a manner that is resource efficient.

### ▪ Transparency

CIDA's implementation of RBM will lead to better reporting on more clearly identified development results.

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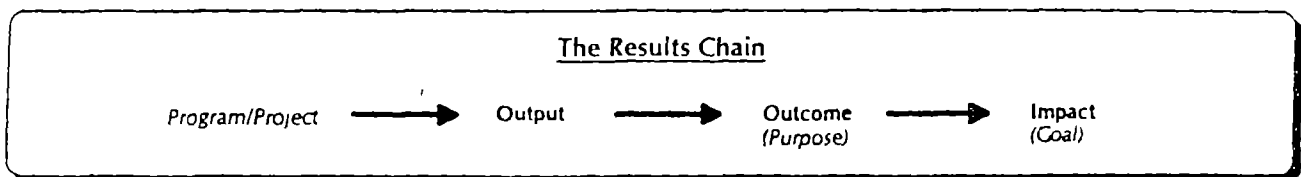


# ANNEX A

## ▪ Key RBM Definitions ▪

### ▪ Results

- **Result.** A result is a describable or measurable change in state that is derived from a cause and effect relationship.
- **Developmental result<sup>2</sup>.** The output, outcome and impact of a CIDA investment in a developing country.
- **Operational result.** The administrative and management product achieved within the Agency.
- **Input.** The resources required, including money, time or effort, to produce a result.
- **Results chain.** Generally seen to correspond to the output, purpose and goal levels of a logical framework analysis (LFA).<sup>3</sup>



- **Output.** The immediate, visible, concrete and tangible consequences of program/project inputs.
- **Outcome.** Result at the LFA purpose level, constituting the short-term effect of the program/project. This is generally the level where the beneficiaries or end-users take ownership of the program/project and CIDA funding comes to an end.
- **Impact.** Broader, higher level, long-term effect or consequence linked to the goal or vision.

### ▪ Performance measurement

- **Baseline data.** The set of conditions existing at the outset of a program/project. Results will be measured or assessed against such baseline data.
- **Performance indicators.** Specific performance measures chosen because they provide valid, useful, practical and comparable measures of progress towards achieving expected results.
- **Quantitative indicators.** Measures of quantity, including statistical statements.
- **Qualitative indicators.** Judgments and perceptions derived from subjective analysis.
- **Performance assessment.** Self-assessment by program branches/units, comprising program, project or institutional monitoring, operational reviews, end-of-year reporting, end-of-project reporting, institutional assessments and special studies.
- **Performance review.** A comprehensive corporate review of a given program theme and ODA priority across all Agency program branches.

<sup>2</sup> Given its international assistance mandate, the FSU/CEE Branch will adopt modified definitions of terms such as developmental results suited to its purpose

<sup>3</sup> **Purpose.** a level of objective within the control of program/project activities and which explains what service is being provided, who is the direct beneficiary of the service and why or to what higher goal the project is contributing

**Goal.** A level of objective immediately above that of program/project purpose which links the program/project to a wider set of strategies being undertaken to address a specific problem

