After reviewing the example below, click **here** to use the *Five Whys* Tool.

Andre and his team understood from their analysis that there were certain groups they should work with in developing the preparedness and mitigation program and how these other external factors should shape their program. They used the *5 Whys* Tool to understand the root cause of the flood and earthquake risk and found that the team only needed go through four stages of question and answer isolate the root cause. The team started by asking "why is there high risk of loss of life and property from flood and earthquake?" in an effort to separate the issue of hazard from the sources of vulnerability. **Table 30** shows how Andre's team used the *Five Whys* Tool.

Figure 43. Case Example 2, Five Whys Tool Information

CASE EXAMPLE 2
Five Whys

Component	Description	Answer
What is the undesirable symptom you would like to address?	The visible result of the underlying root cause. The problem we would like to solve.	*Risk of loss of life and property at Embassy Capital City due to flood and earthquake.*
First Why: **Why is this happening?**	Why is the embassy at risk for loss of life and property due to natural disaster?	• *For flooding, because it is becoming more frequent and severe seasonally.* • *For earthquakes, because a fault line was recently discovered near the embassy.*
Second Why: **Why is this happening?**	Why is flooding threatening life and property at the embassy? Why are earthquakes threatening life and property at the embassy?	• *In the case of flood hazard, this is because flood levels are rising and are threatening to flood embassy grounds.* • *In the case of earthquake hazard, the shaking and destruction is occurring closer to the embassy as a fault line near the embassy has become active. The country in general is experiencing earthquakes more frequently.*
Third Why: **Why is this happening?**	Why is flooding submerging the embassy and threatening life and property? Why is the shaking and destruction threatening life and property?	• *Flood waters are submerging the embassy and threatening property because there are no flood defenses. They are threatening life because of lack of flood defenses for embassy grounds and because Capital City infrastructure stops functioning in flooding.* • *The shaking is damaging buildings, dislodging furniture, and causing injury at the embassy and disabling infrastructure.*
Fourth Why: **Why is this happening?**	• Why does the embassy lack flood defenses and why is the infrastructure being disabled? • Why are buildings at risk of being damaged and infrastructure disabled during earthquakes?	• *The embassy lacks flood defenses because the embassy has yet to develop a strategy and infrastructure to mitigate this risk to property. The embassy also has yet to develop a strategy and infrastructure to protect personnel.* • *Damage is occurring and infrastructure is being disabled as the embassy building has not been reinforced for shaking. Life is threatened because personnel do not know how to respond and evacuate. Infrastructure is disabled and the national government is not able.*
Fifth Why	• N/A	• *N/A*

Team Discussion	
Will the answer to the final or fifth why potentially address or resolve the undesirable cause?	*Yes, increasing the embassy's resilience to flood will preserve property. Developing a flood preparedness strategy that includes emergency supplies and an evacuation plan will protect life.* *Also, increasing the embassy's resilience to earthquakes including securing furniture and reinforcing buildings will preserve property. Developing an earthquake preparedness strategy that includes emergency supplies and an evacuation plan will protect life.*

Table 30. Case Example 2, Five Whys

After reviewing the example below, click **here** to use the Review of the Issue or Problem Tool.

Andre conducted a document review and coordinated with stakeholders to review the issue of natural disaster preparedness and mitigation in Transdonia. This information is important as it will inform the development of the problem statement, goal, objectives, and program logic. The information from this analysis can be found in **Table 31.**

Figure 44. Case Example 2, Review of the Issue or Problem

CASE EXAMPLE 2 Review of the Issue or Problem		
Questions	**Description**	**Answers**
What are the root causes of the problem?	The underlying systemic causes of the problem inserted from the **Step 2.2**.	• *The embassy compound's physical vulnerability to flooding and earthquake* • *Transdonian infrastructure physical vulnerability to flooding and earthquake* • *Lack of personnel knowledge and embassy procedure for responding to flooding and earthquake* • *Lack of evacuation strategy in case of flooding and earthquake.*
What are the systems and behaviors that keep the problem in existence?	The systems, behaviors, culture, beliefs, power structures, economics, instability, etc. that perpetuate an issue or problem.	• *Lack of resources to make Transdonian infrastructure resilient to flooding and earthquake*
Who are the beneficiaries/ customers of the program?	Who will benefit most from the program? Who is in greatest need?	• *Embassy Capital City personnel*
What are the needs of those recipients?	Consider the population you would like to target. What are their greatest needs?	• *Increased capacity* • *Increased awareness* • *Improved evacuation strategies* • *Disaster supplies and gear* • *Improved embassy infrastructure*
How can these needs be met?	Taking into account the root causes of the problem, immediate and long-term needs, how can the program address the needs of the recipients?	• *Preparedness capacity building and awareness campaigns* • *Evacuation strategy formulation and implementation* • *Distribution of disaster supplies* • *Making the embassy compound more resilient*
Who are the other actors or potential partners working in the area?	Consider other actors in the area and sector who may be implementing similar programs.	*The government has a preparedness and evacuation plan in place. During the external assessment Andre learned that other embassies have formulated similar plans for their compounds. NGOs in the country are actively working with local communities on disaster preparedness.*

Table 31. Case Example 2, Review of the Issue or Problem

Section 3: Design a Program

After reviewing the example below, click **here** to use the Develop the Problem or Needs Statement Tool.

Andre and his team used information from the situational analysis to answer specific questions about the problem, who is affected, when, where, why and how. Andre and his team used the Problem or Needs Statement Tool to determine the exact challenge their program will address. This information will be used in the development of the goals and objectives and lays the foundation for designing the program. Please see the information from Andre's team in **Table 32.**

Figure 45. Case Example 2, Problem or Needs Statement Tool Information

CASE EXAMPLE 2
Develop the Problem or Needs Statement

Question	Category	Definition	Answer
WHO	***Customers or Beneficiaries Demographics***	Describe the population that is affected by this problem (e.g., age, gender, education, ethnic group, religion, etc.)	• *Personnel: Foreign Service/Civil Service/EFM. Average age is 35 and education is a mix of college and graduate degree.* • *Personnel: Locally Employed Staff. Average age is 30 and education is a mix of college and graduate degree with 5% having high school degree.* • *3% of LES have difficulty with English.* • *2% of participants have physical limitations and need assistance to move around the embassy compound.*
	Stakeholders	Describe who is involved in the issue or challenge	• *Government agencies and officials that coordinate disaster preparedness and response efforts.* • *Nearby embassies that have disaster preparedness and mitigation plans for the same risks* • *Family members of personnel who will want to ensure and be informed about the well being of family members who work on the embassy compound.* • *NGOs that work on disaster preparedness and resiliency in local communities.*
WHAT	***Scope, Extent, Severity***	Describe the: • Sector, area, or subject matter • Scale or magnitude • Gravity and urgency	• *Sector – Disaster preparedness-making embassy compound resilient, training and equipping personnel to survive and evacuate.* • *Scale – Embassy compound and buildings require improvements, personnel require training, awareness and supplies.* • *Urgency – Urgent. Flooding is seasonal and anticipated. Earthquakes are not precisely predictable but potentially devastating.*

WHEN	***Context***	Describe when the issue or challenge takes place. Be sure to include any specific context or circumstances under which the issue or challenge occurs such as time of day, time of year, or time in one's life. Describe the cultural norms and attitudes that play a role in this issue or problem.	• *Flooding in Capital City occurs in the spring and is becoming more severe as storms become more severe.* • *Earthquake frequency in Capital City is unknown but anticipated.*
WHERE	***Location***	Describe the geographic or specific location where the issue occurs.	• *Capital City, U.S. embassy compound*
WHY	***Causes***	Describe the root causes of the issue or problem.	• *The embassy compound's physical vulnerability to flooding and earthquake* • *Transdonian infrastructure physical vulnerability to flooding and earthquake* • *Lack of personnel knowledge and embassy procedure for responding to flooding and earthquake* • *Lack of evacuation strategy in case of flooding and earthquake.*
HOW	***Effect***	How does the issue affect the customer or beneficiary?	*The risk of flooding and earthquake at Embassy Capital City can result in loss of life, physical injury, and damage to embassy infrastructure.*
Problem Statement	Using the information described in the six categories above, write a detailed problem statement to guide the program design process.	*Due to increasing frequency and severity of flooding and earthquake at Embassy Capital City, personnel are at risk for loss of life and injury and the embassy compound is at risk for damage and destruction. However, personnel do not have the knowledge, practice or supplies to respond to these hazards and the embassy compound is not designed to sustain floods or earthquakes.*	

Table 32. Case Example 2, Develop Problem or Needs Statement

After reviewing the example below, click **here** for the Develop Program Goals and Objectives Tool. For more guidance on developing program objectives, consider using the **SMART principles** – Specific, Measureable, Achievable, Relevant, and Time-bound.

During the "Five Why's" exercise in Section 2, Andre's team determined that a disaster preparedness plan and embassy compound improvements were the major initiatives necessary for implementing a disaster preparedness and mitigation program. His team decided to collaborate with the local government and other stakeholders in the area to develop a disaster mitigation plan. They will also collaborate with professionals to identify what will need to be done in the embassy compound to make it more resilient to flood and earthquake.

The $1.5 million will be used to support the goal(s) and objectives determined in the *Goals and Objectives Tool* seen in **Figure 47.**

Figure 46. Case Example 2, Develop Goals and Objectives Information

CASE EXAMPLE 2
Develop Program Goals and Objectives

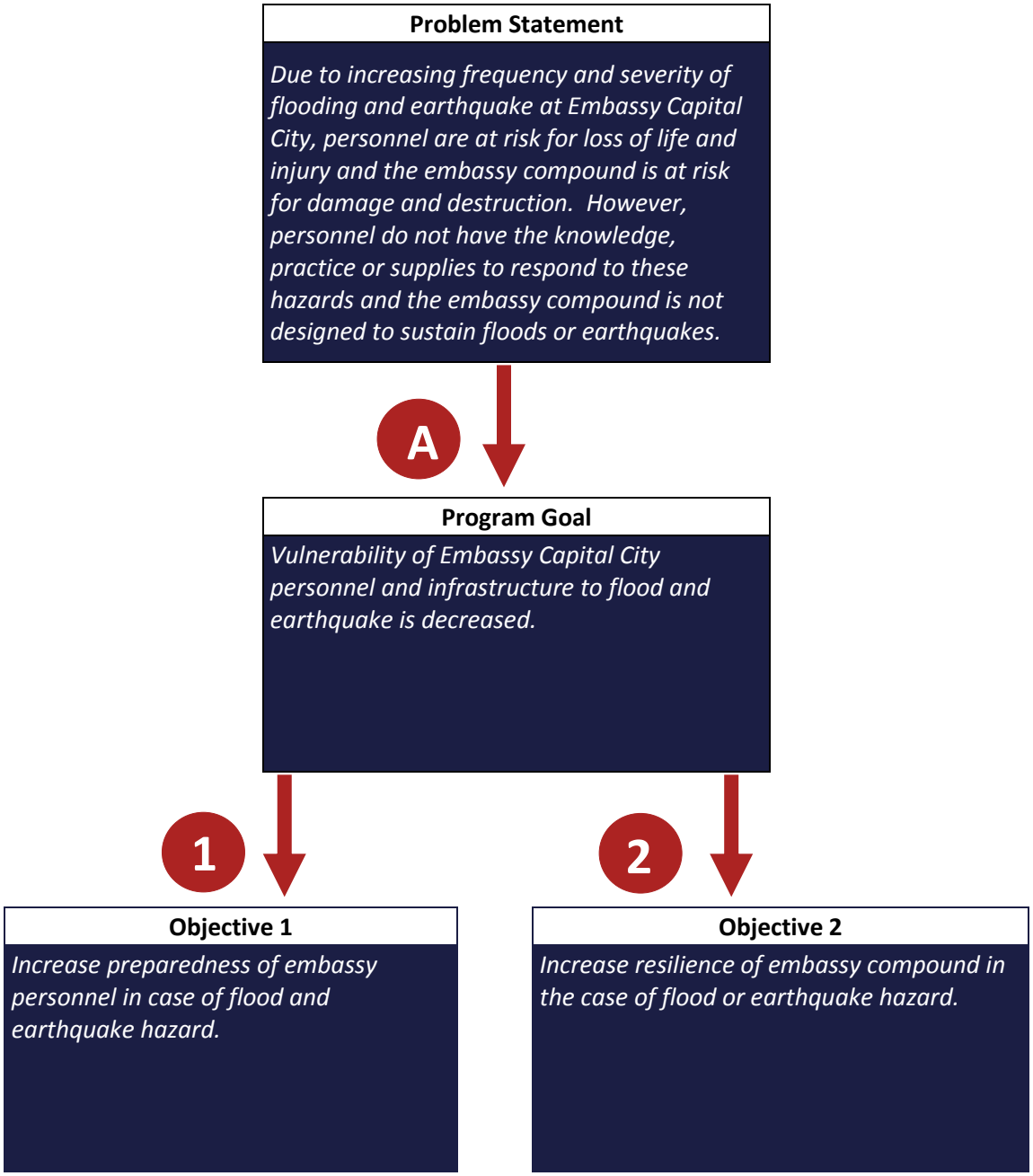

Figure 47. Case Example 2, Develop Program Goals and Objectives

Long-Term Outcome
Reduction in incidence of Embassy Capital City personnel's flood and earthquake hazard related morbidity and mortality.
This is a ***strong*** long-term outcome because although it may not be realized during the timeframe of a single disaster preparedness program, it is a logical long-term extension and it is a measurable/observable change.

Figure 48. Case Example 2, Long-Term Outcome

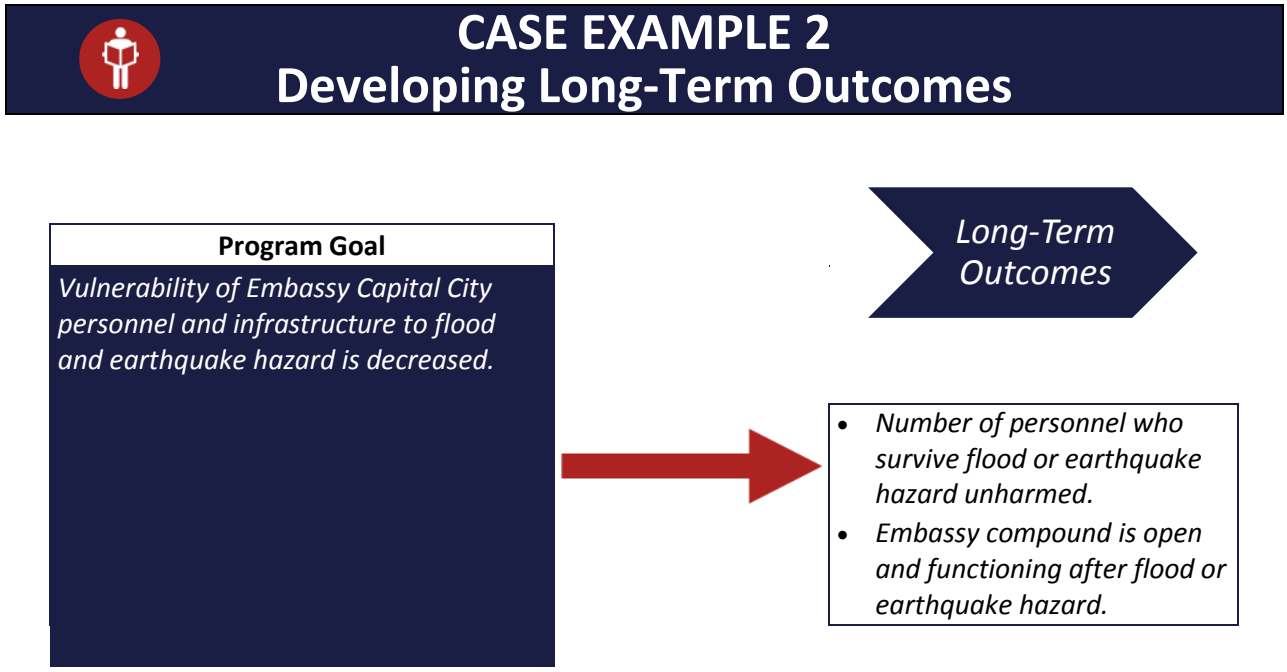

Figure 49. Case Example 2, Develop Long-Term Outcomes

Short-Term Outcome
Effective disaster preparedness mechanisms in place: trained personnel, evacuation strategies and supplies.
This is a ***strong*** short-term outcome because this is the result of the preparedness program and indicates a behavioral change among the participants and can be accomplished within the timeframe of the program. It is directly tied to Objective 1 of the Example.

Figure 50. Short-Term Outcome

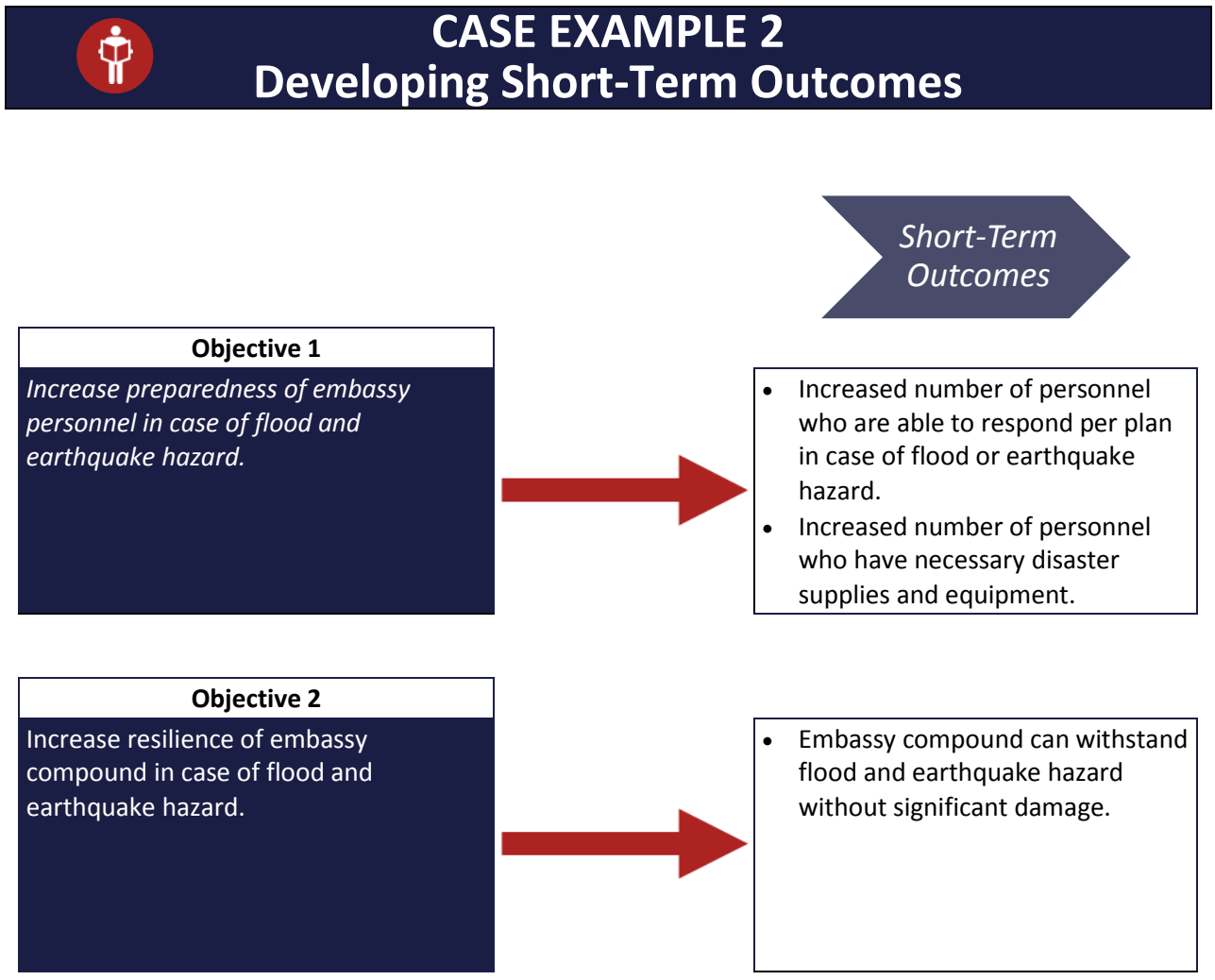

Figure 51. Case Example 2, Developing Short-Term Objectives

Output
Number of personnel who received disaster preparedness training.
This is a ***strong*** example of an output because it is a direct result of the program activity. This output is measurable; it is specific and relevant to the program activities and long-term outcomes.

Figure 52. Case Example 2, Output

Activity
Training in how to respond to flood and earthquake hazard in the embassy compound.
This is a strong example of an activity because explains who will receive training, what type of training and it directly relates to Objective 1.

Figure 53. Case Example 2, Activity

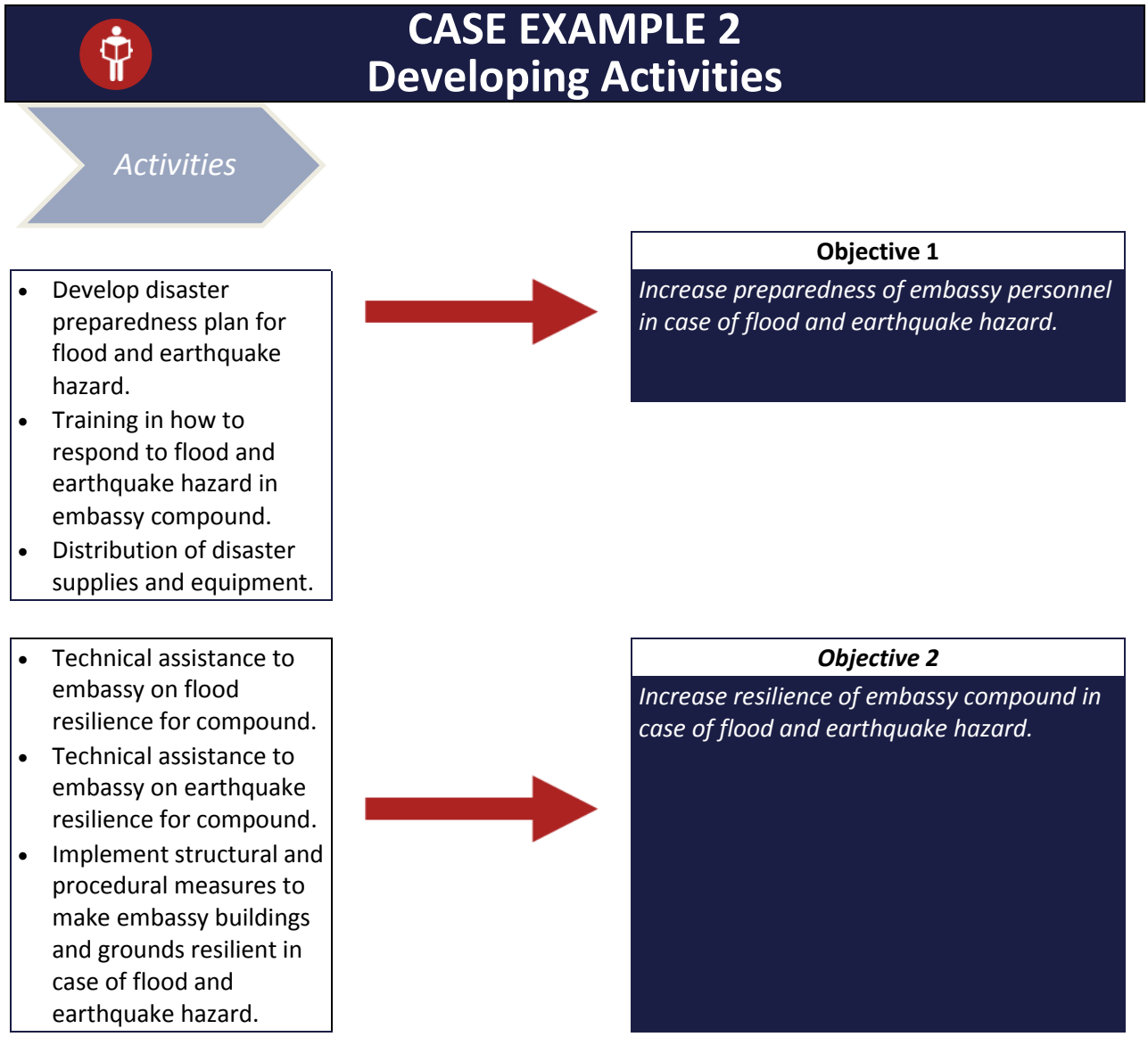

Figure 54. Case Example 2, Developing Objectives

Input
Disaster preparedness briefings and surprise drills.
This is a ***strong*** example of an input because it shows how this will be used to implement an activity of the program.

Figure 55. Case Example 2, Input

After reviewing the case example below, click **here** to use the Logic Model Tool.

Now that the goals and objectives of the program are developed, Mary and her team can develop the program logic using the Program Logic Model Tool. In doing so she can determine how the program's inputs will lead to the long-term outcomes of the program. See the case example of the Program Logic Model in **Figure 57.**

Figure 56. Case Example, Logic Model Information

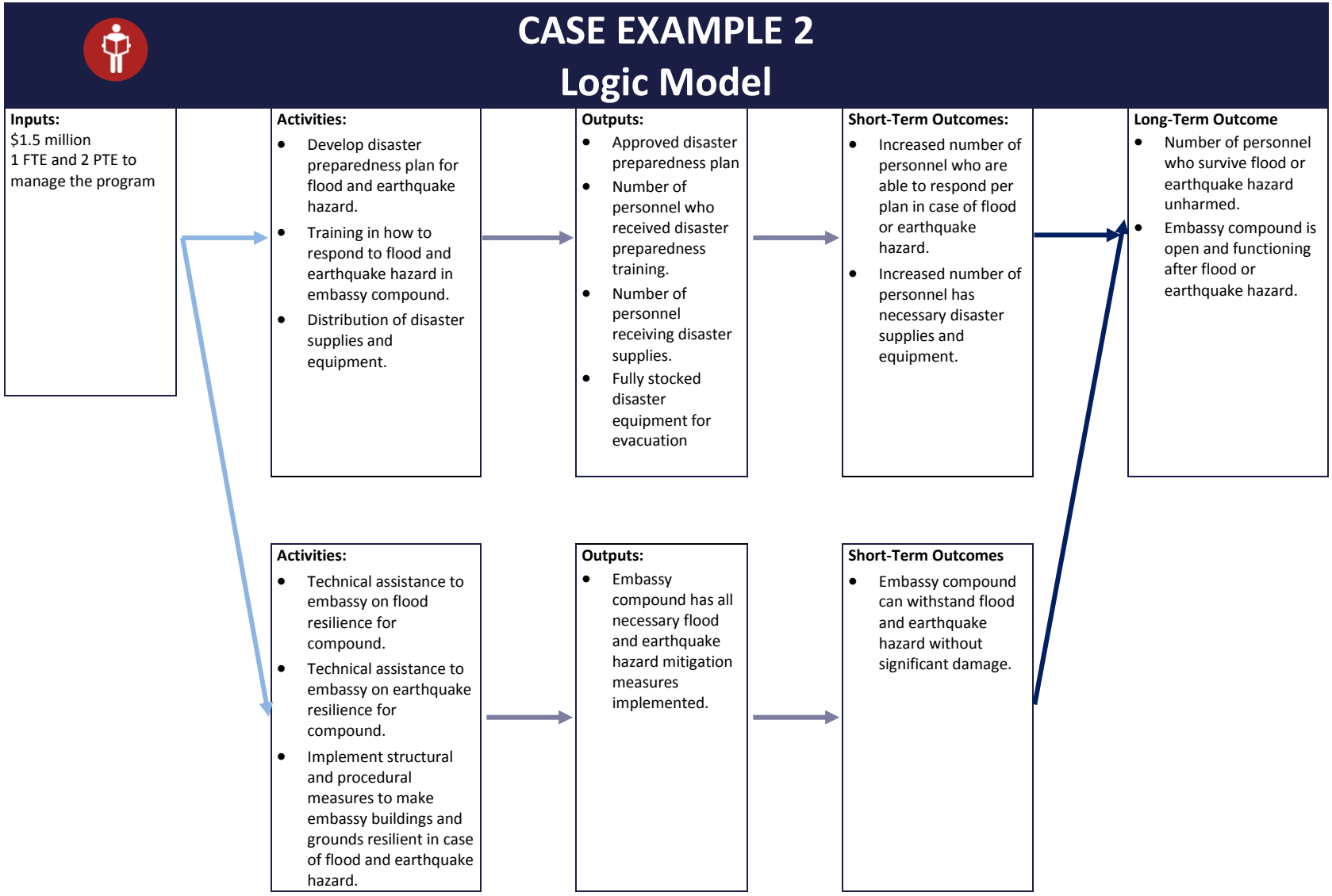

Figure 57. Case Example 2, Program Logic Model

After reviewing the case example below, click **here** to use the Program Assumptions Tool.

While developing the logic model, Andre and his team will also develop the program assumptions. In doing so, he will articulate the external factors that either must be in place for the program to be a success or over which the program implementers have no control.

Upon completion of the logic model and program assumptions, Andre and his team will write the theory of change. The theory of change will explain why they believe an awareness campaign and capacity building program will address the problem determined in **Step 3.1**: *Due to increasing frequency and severity of flooding and earthquake at Embassy Capital City, personnel are at risk for loss of life and injury and the embassy compound is at risk for damage and destruction. However, personnel do not have the knowledge, practice or supplies to respond to these hazards and the embassy compound is not designed to sustain floods or earthquakes.*

Figure 58. Case Example 2, Program Assumptions and Theory of Change Information

CASE EXAMPLE 2
Program Assumptions

Assumptions	Assumptions	Assumptions	Assumptions
• Transdonian government will support preparedness and evacuation planning. • $1.5 million will be made available to support training and embassy compound improvements.	• Personnel will be able to focus adequately to retain training content. • Structural and compound improvements will be completed in specified manner.	• Personnel will follow training and evacuation procedures. • Structural and compound improvements will provide adequate protection from flood and earthquake.	• Training and evacuation will adequately protect personnel. • Structural and compound improvements will adequately protect embassy.

Figure 59. Case Example 2, Program Assumptions

4

Section 4: Manage Performance

Attribution	Contribution
Example: Number of personnel who received disaster preparedness training.	***Example***: Number of people who survive flood or earthquake hazard unharmed.
Explanation: This is directly attributable to the program because without training embassy personnel would not know how to follow disaster preparedness plan. There is a direct link between the program and the result	***Explanation***: The program is contributing to the decrease in vulnerability to flood and earthquake hazard. As people are prepared and buildings improved the likelihood of harm and damage decreases. But this link is indirect and there may be other factors that influence safety that this program has no control over.

Figure 60. Case Example 2, Attribution vs. Contribution

Strong Indicator	Weak Indicator
Example: Embassy compound has had flood and earthquake hazard mitigation measures implemented.	***Example*****:** Embassy is fixed and resilient to floods and earthquakes.
Explanation: This indicator is strong because it is easily defined and measured. It is unambiguous and useful to program implementers. The indicator closely measures the result it is intended to measure and the result is attributable to the program activities.	This is a weak indicator because (1) 'fixed' and 'resilient' are not clearly defined and (2) the indicator is multidimensional.

Figure 61. Case Example 2, Strong vs. Weak Indicators

After reviewing the example below, click **here** for the OPUDATA tool.

As Andre's team developed the indicators, they used the OPUDATA Tool as seen **Table 33** to be sure the indicators developed are objective, practical, useful, direct, attributable, timely and achievable. Andre's team will check each indicator and revise each to be sure they meet these standards. After the indicators are developed, the team will move on to the Indicator Reference Sheets in **Table 34**.

Figure 62. Case Example 2, OPUDATA Information

CASE EXAMPLE 2
OPUDATA Tool

Indicator: Percent of personnel who are able to respond per plan in case of flood or earthquake hazard.

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

Table 33. Case Example 2, OPUDATA

After reviewing the example below, click **here** for the Indicator Reference Sheet Tool.

After developing the indicators, Andre's team completed Indicator Reference Sheets for each indicator they will track throughout program implementation. Indicator reference sheets are a critical part of the performance monitoring plan as they define the indicator, explain how data will be collected and articulate the use of the information and why this particular indicator is important. Additionally, Andre will then use this information to develop his Monitoring Plan and Indicator Tracking Table.

Figure 63. Case Example 2, Indicator Reference Sheet Information

CASE EXAMPLE 2 Indicator Reference Sheet	
Required Information	**Instructions: To Be Completed**
Indicator	Increased number of personnel who are able to respond per plan in case of flood or earthquake hazard.
Definition	*This indicator measures the total number of people that are able to respond per the disaster preparedness plan. Procedures include actions to take in case of flood, earthquake and in times of evacuation.* ***Numerator**: Number of embassy personnel trained.* ***Denominator**: Number of embassy personnel.*
Linkage to Long-Term Outcome or Impact	*This links to the long-term outcomes as it indicates the success of the training and will contribute to the decrease in vulnerability to flood or earthquake hazard.*
Reporting Type	*Percent*
Use of Indicator	*Measure the change in behavior in case of flood or earthquake on embassy compound.*
Reporting Frequency	*Semiannual*
Data Source	*Monthly reports*
Bureau Owner(s)	Management reports
Disaggregate(s)	Embassy section, gender

Table 34. Case Example 2, Indicator Reference Sheet

Click **here** to view the Monitoring Plan and Indicator Tracking Table.

Andre's ream used the Indicator Reference Sheets to complete the Monitoring Plan and Indicator Tracking Table. They will use this table throughout the implementation of the program to track progress towards their targets. The completed Monitoring Plan and Indicator Tracking Table can be seen in **Table 35.**

Figure 64. Case Example, Monitoring Plan and Indicator Tracking Table

CASE EXAMPLE 2
Monitoring Plan and Indicator Tracking Table

Program Goal: *Vulnerability of Embassy Capital City personnel and infrastructure to flood and earthquake hazard is decreased.*

Objective 1: *Increase preparedness of embassy personnel in case of flood and earthquake hazard.*

Indicator	Baseline	Data Source	Data Disaggregation	Frequency of Data Collection	Cumulative Target	Cumulative Actual (to Data)	Q1 Target	Q1 Actual	Q2 Target	Q12 Actual	Q3 Target	Q3 Actual	Q4 Target	Q4 Actual
Disaster preparedness plan for flood and earthquake hazard developed	0	Program Documentation	Male/Female Position	Annual	1									
Percent of embassy personnel who received disaster preparedness training	0	Attendance Sheets	Male/Female Position	Quarterly	150									
Percent of embassy personnel who received disaster supplies	0	Program Documentation	Male/Female Position	Quarterly	150									
Percent of personnel who are able to respond per plan	0	Program Documentation	Male/Female Position	Quarterly	140									
Percent of personnel who have necessary disaster supplies	0	Program Documentation	Male/Female Position	Quarterly	140									

Table 35. Case Example 2, Monitoring Plan and Indicator Tracking Table

Strong Evaluation Question	Weak Evaluation Question
Example: To what extent did the project reduce vulnerability of personnel and embassy compound to flood and earthquake hazard?	Example: Did the preparedness program succeed?
Explanation: This evaluation question is strong because it researchable, it is specific to the program, and it is clearly defined.	Explanation: This is a weak evaluation question because it is not specific. Success is not clearly defined and the researcher may not know what is meant by it.

Figure 65. Case Example 2, Strong vs Weak Evaluation Questions

Andre is contracting a local disaster expert to design the preparedness plan. In order to do this he worked closely with the contracting office to write and publish a solicitation alerting local experts of the opportunity. To write the solicitation, the team used the following information:

- The situational analysis and the problem statement to summarize why the program is being developed.
- The logic model, the theory of change (TOC), the goals and objectives to explain how the Bureau and the Embassy envisions change taking place.
- Performance indicators to show exactly how the Embassy plans to measure success.
- Monitoring data that shows how the program performed to targets.

Andre and his team will work with the contracting team to secure local expertise.

Figure 66. Case Example 2, Working with External Entities

Section 5: Analyze, Learn, Act

After reviewing the example below, click **here** for the Data Quality Assessment Checklists.

The program just completed its first quarter of implementation. Andre's team collected the first quarter data using the Monitoring Plan and Indicator Tracking Table. With this report, the Embassy in Transdonia completed the Data Quality Assessments (DQAs) to ensure the data are valid, precise, reliable, timely, and have integrity. The team will complete the DQAs the first time data is reported and periodically throughout program implementation to ensure data collected maintains these five characteristics. An example of a completed DQA can be seen in **Table 36.**

Figure 67. Case Example 2, Data Quality Assessment

CASE EXAMPLE 2
Data Quality Assessment Checklist

Office, Bureau, or Post Name: Embassy Capital City	
Title of Performance Indicator: Increased number of personnel who are able to respond per plan in case of flood or earthquake hazard.	
Result This Indicator Measures (i.e., Specify the Development Objective, Intermediate Result, or Project Purpose, etc.): Output to measure if short term outcomes are realized	
Data Source(s):Program documentation	
Partner or Contractor Who Provided the Data: *Embassy Capital City*	
Period for Which the Data Are Being Reported: First Quarter	
Is This Indicator a Standard or Custom Indicator?	____ Standard Foreign Assistance Indicator ✓ Custom (created by the program; not standard)
Data Quality Assessment methodology: *Reviewed data collection procedures and documentation* *Interviewed those responsible for data information*	
Date(s) of Assessment: --/--/--	
Assessment Team Members: Andre– Program Officer, Embassy Transdonia; Mika, Contracted Consultant	
Verification of DQA Team Leader Officer approval X_____	

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

RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)	✓		
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?	✓		
TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?	✓		
2	Are the data reported the most current practically available?	✓		
3	Are the data reported as soon as possible after collection?	✓		
PRECISION – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the margin of error less than the expected change being measured?			N/A
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)			N/A
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change of a few millimeters.)	✓		

INTEGRITY – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.				
1	Are procedures or safeguards in place to minimize data transcription errors?	✓		Data are collected on an electronic tablet or laptop and transferred to the data management system automatically when connected to the internet. Where paper data collection must be used, data are cross checked by two personnel.
2	Is there independence in key data collection, management, and assessment procedures?	✓		
3	Are mechanisms in place to prevent unauthorized changes to the data?	✓		

SUMMARY
Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data? Data are valid and reliable.
Significance of limitations (if any):
Actions needed to address limitations prior to the next DQA (given level of USG control over data):

IF NO DATA ARE AVAILABLE FOR THE INDICATOR	COMMENTS
If no recent relevant data are available for this indicator, why not?	
What concrete actions are now being taken to collect and report these data as soon as possible?	
When will data be reported?	

Table 36. Case Example 2, Data Quality Assessment

After reviewing the example below, click **here** for the Strategic Progress Review Framework and **here** for the Action Item Follow-Up Tracker.

With the first quarter data submitted, Andre and his team will analyze the data. His team will assemble all stakeholders to meet and assess the information collected and discuss relevant topics that are of greatest use for decision-makers at the time – such as questions about the overall progress of a strategic objective, questions of overall implementation, performance of a particular activity, questions of interagency coordination, etc. His team will use the Strategic Progress Review Framework to record topics of discussion and the Action Item Follow-Up Tracker to assign point of contact for each action item as a way to track progress of each one. An example of the Strategic Progress Review Framework can be found in **Table 37** and the Action Item Follow-Up Tracker can be found in **Table 38**.

Figure 68. Case Example 2, Strategic Progress Review Framework and Action Item Follow-Up Tracker Information

CASE EXAMPLE 2
Strategic Progress Review Framework

Attendees: Andre– Program Manager Embassy Capital City; Pat-Program Analyst Embassy Capital City; Carla-Program Analyst Embassy Capital City; Mika-Preparedness and Mitigation Expert

Date: --/--/-- Completion of First Quarter

Review Question/ Discussion Topic	Data Used	Findings	Did we have the right data?	Action Items
(Use the review to address questions that are of greatest use for decision-makers at the time – such as questions about the overall progress of a strategic objective, status of an action item, performance of a particular program, questions of interagency coordination, etc.)	*(List the information that will be used to inform the discussion topic or question, such as indicators, milestone status, relevant evaluations, studies, key informants, etc.)*	*(Note key findings from the review such as were expected results achieved on pace, what obstacles were presented that need addressed, etc.)*	*(Note whether the data were sufficient to answer the question, or if different/more/ less data are needed. Make an action item to change your monitoring plan accordingly, if necessary.)*	*(Based on the findings, note any follow-up action items including any adjustments to your strategic plan.)*
1) Ramping up program going well on track, no obstacles to date.	Indicator data	Results achieved on pace	Yes	Continue as planned
2) Foresee issue with coordinating with embassy compound mitigation expert	Consultant/expert	Mitigation project in Freedonia is extended, delaying consultant work for Embassy Transdonia	Yes	Work with consultant/expert to readjust schedule

Table 37. Case Example 2, Strategic Progress Review Framework

CASE EXAMPLE 2 Action Item Follow-Up Tracker			
Action Item	**Action Item POC**	**Due Date**	**Progress Update**
(List any items from your review framework)	*(List at least one POC assigned to implementing the action item)*	*(Date by when the action item should be implemented)*	*(Note any progress in implementing action item)*
1)Set up meeting with embassy compound mitigation consultant/expert	Andre	Within one week	
2)Update project plan and senior management team	Andre	Within one week	
3)			
4)			
5)			

Table 38. Case Example 2, Action Item Follow-Up Tracker

After reviewing the example below, click **here** for the Work Breakdown Structure (WBS) Tool.

To develop the individual projects that will fall under the embassy disaster preparedness program, the Management Office will use the **WBS Tool** to organize the work of each project into manageable sections and assign those sections to personnel. This will help manage each project that makes up the program and the overall implementation of the program.

Figure 69. Case Example 2, Work Breakdown Structure Information

CASE EXAMPLE 2
Work Breakdown Structure Tool

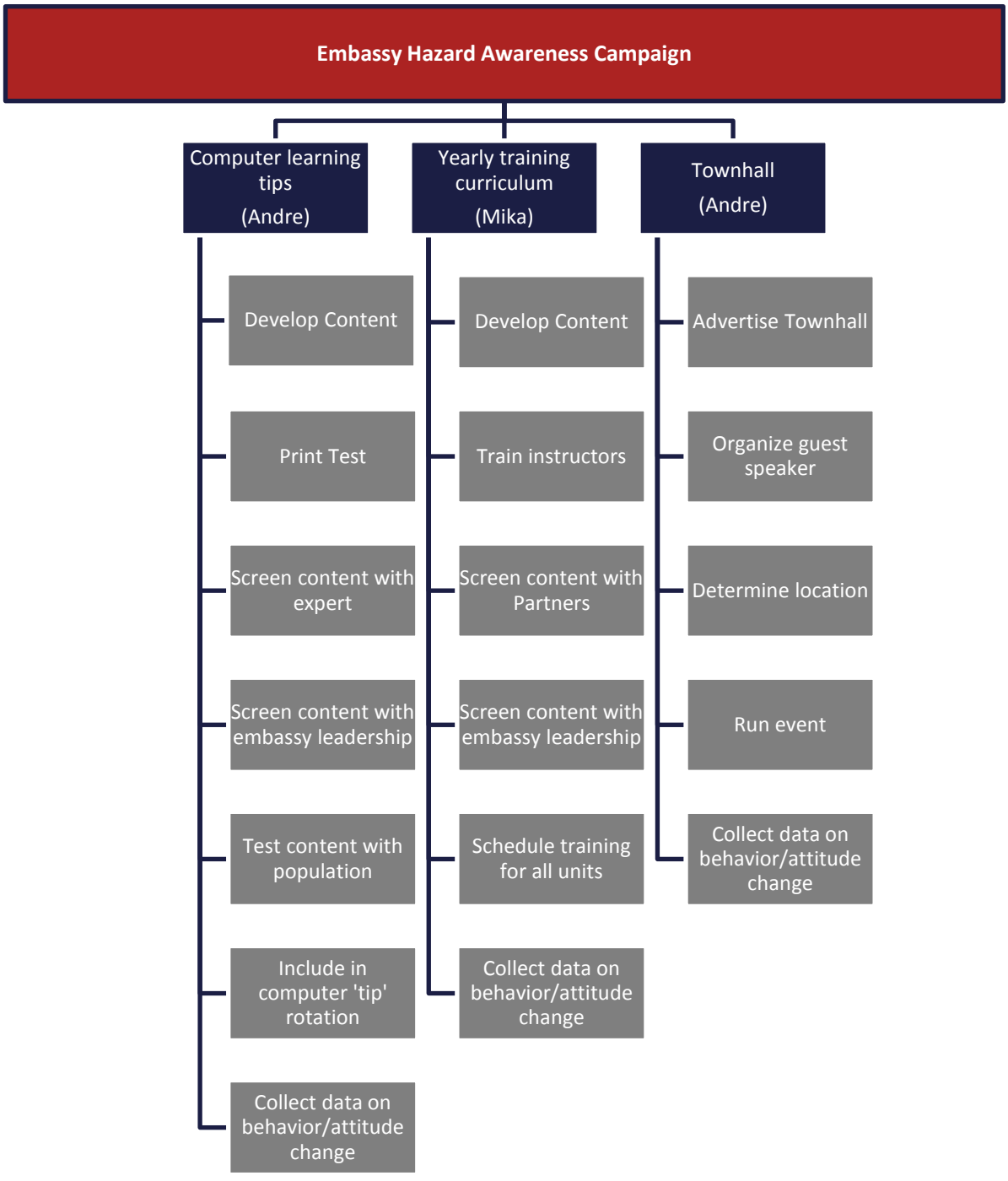

Figure 70. Case Example 2, Work Breakdown Structure

APPENDIX F: KEY TERMS

The key terms below are frequently used when discussing strategic planning, program design and performance management. Although not an exhaustive list these terms are relevant in designing and implementing projects, programs, and processes. Become familiar with these terms as you design your program.

Term	Definition
Activity	A specific action undertaken over a specific period of time through which inputs are mobilized to produce specific outputs. An activity can be a sub-component of a program, project, or process.
Assumption	A fact or condition that is accepted as true. For performance management, assumptions are beliefs about the context in which a program, project, or process in undertaken. For example, "The country's government will remain stable," or "The supply of electricity will be consistent."
Attribution	Ascribing a causal link between observed changes and specific programs, projects, or processes taking into account the effects of other programs, projects, or processes and possible confounding factors. The extent to which the observed change in outcome is the result of the programs, projects, or processes having allowed for all other factors which may also affect the outcome(s) of interest.
Baseline	The data that are collected before or at the start of a program, project, or process and provide a basis for planning and/or assessing subsequent progress and impact.
Beneficiaries	The individuals, groups, or organizations that benefit from a project, program, or process.
Context Indicators	Indicators that do not directly measure the outcomes of a program, but rather factors that are beyond the control of the program management/implementers, such as country GDP or which political party is in power.
Contribution	The extent to which changes can be ascribed to a variety of programs or projects or stakeholders.
Data Cleaning	The process of reviewing data that has been collected to ensure its integrity before analysis.
Disaggregation	The breakdown of data by subgroup, e.g., men and women, urban dwellers and rural dwellers.
Evaluation	The systematic collection and analysis of information about the characteristics and outcomes of programs, projects, and processes as a basis for judgements, improving effectiveness, and informing decisions about current and future programs, projects, and processes. Evaluation is distinct from assessment, which may be designed to examine country or sector context to inform project design.

Terms	Definition
External Assessment	A situational analysis that surveys the environmental surroundings where the program will take place to understand potential opportunities and threats.
Gender	A social construct that refers to relations between and among the sexes, based on their relative roles. Gender encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. It varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that gender is not interchangeable with women or sex.
Gender Integration/ Mainstreaming	The identification and treatment of gender differences and inequalities when designing and implementing programs. Gender integration seeks to promote gender equality and improve policy and programming outcomes. Please note that the Department of State uses gender integration and mainstreaming synonymously. Involves identifying and then addressing gender differences during strategic planning, project design, implementation, and monitoring and evaluation
Gender Planning	Developing programs and projects while taking into account how those projects and programs may impact women, men, boys, and girls.
Gender Policy	A course of action adopted by a government entity, private or public organization intended to promote gender equality within an organization, community, or society.
Gender Programming	An operationalized commitment to gender equality. This process involves developing and implementing specific goals and objectives, measures, and activities to promote gender equality.
Goal	The highest-order outcome or end state to which a program, project, process or policy is intended to contribute.
Impact	A result or effect that is caused by or attributable to a program, project, process, or policy. Impact is often used to refer to higher-level effects that occur in the medium or long term, and can be intended or unintended and positive or negative.
Indicator	A particular characteristic or dimension used to measure intended changes. Performance indicators are used to observe progress and to measure actual results compared to expected results.
Input	Resources provided for program implementation. Examples are money, staff, time facilities, equipment, etc.
Internal Assessment	A situational analysis that allows you to understand the capabilities within your own office, bureau, or post such as financial resources, time, and human capital resources of your office, bureau, or post prior to designing a program to ensure it is within your capabilities and capacity.

Terms	Definitions
Intervention	An activity, project, or program.
Lessons Learned	Generalizations based on evaluation findings that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weakness in preparation, design and implementation that affect performance, outcome and impact.
Logic Model	A rigorous methodology used for program or project design that focuses on the causal linkages between project inputs, activities, outputs, short-term outcomes, and long-term outcomes. It is a visual representation that shows the sequence of related events connecting a planned program's objectives with its desired outcomes.
Monitoring	An ongoing system of gathering information and tracking performance to assess progress against established goals and objectives.
Monitoring Plan	A plan that uses the information mapped out in the logic model and in the indicator reference sheets to clearly summarize how to measure results.
Objective	A statement of the condition or state one expects to achieve toward accomplishing a program, project, or process goal.
Outcome	The result or effect that is caused by or attributable to the project, program or policy of the program activities. Outcomes may be short-term or long-term, intended or unintended, positive or negative, direct or indirect.
Outcome Indicator	An indicator that focuses on change and is a measure of the extent to which a program objective is being achieved.
Output	A short-term, immediate result of a program, project, or process that leads to longer-term outcomes. Outputs are the products, goods, and services which result from activities.
Output Indicator	A measure of the direct results of the program activities. They do not measure change; they answer the question, "What is the immediate product of the activity?"
Performance Management	The systematic process of collecting, analyzing and using performance monitoring data and evaluations to track progress, influence decision making, and improve results.
Performance Management Plan	A tool to plan and manage the process of monitoring, evaluating, and analyzing progress toward achieving results identified in a logic model in order to inform decision-making, resource allocation, learning, and adapting projects and programs.
Problem Statement	A clear description of the issue or challenge the program seeks to address.
Process	A systematic series of actions or steps taken to achieve a particular end.

Terms	Definitions
Program	A set of activities, processes, or projects aimed at achieving a goal or objective that are typically implemented by several parties over a specified period of time and may cut across sectors, themes, and/or geographic areas.
Program Design	The process of planning, analyzing the context, identifying root causes of the issues to be addressed, and constructing a theory of why a proposed program, project, or process will work.
Program Summary	A comprehensive document that encompasses all program information used for program design, implementation, monitoring, evaluation learning, knowledge sharing, and accountability.
Project	A set of activities intended to achieve a defined product, service, or result within specified resources and implementation schedules. A set of projects makes up the portfolio of a program.
Review of the Issue or Problem	A close examination of the problem you would like to solve that takes into account the larger context, the stakeholders involved, and an understanding of the problem's root causes.
Root Cause Analysis	A closer look at the source of the problem(s) or issue(s) your program will address.
Target	The specified result(s), often expressed by a value of an indicator(s), that project, program or policy is intended to achieve within an explicit timeframe with a given level of resources.
Theory of Change	A brief statement that ties your logic model together by summarizing *why*, based on available evidence and consideration of other possible paths, the particular changes described in your logic model are expected to occur.
Qualitative Data	Virtually any information that can be captured that is not numerical in nature, such as observations, narratives, and images.
Quantitative Data	Information that can be expressed in numerical terms, counted or compared on a scale.
Reliability	Consistency or dependability of data with reference to the quality of the instruments, procedures, and used. Data are reliable when the repeated use of the same instrument generates the same result.
Validity	The extent to which an indicator measures what it purports to measure.

APPENDIX G: WORKS CITED

Section 1: Align Programs to Advance Existing Strategies

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http://cas.state.gov/managingforresults/planning/

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Section 2: Conduct a Situational Analysis

Conducting a Comprehensive Situational Analysis: http://www.thesustainablengo.org/general-management-skills/conducting-an-organizational-situation-analysis

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Section 3: Design a Program

Isabel Vogel for the UK Department of International Development Review of the use of 'Theory of Change' in international development:
https://assets.publishing.service.gov.uk/media/57a08a5ded915d3cfd00071a/DFID_ToC_Review_VogelV7.pdf

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Section 4: Performance Management

Standard foreign assistance indicators can be found at
http://cas.state.gov/managingforresults/learning/ppr/

Department of State Evaluation Resources: http://cas.state.gov/evaluation/files/2014/05/2016-Evaluation-Guidance.pdf

ADS Chapter 203 Assessing and Learning:
https://www.usaid.gov/sites/default/files/documents/1870/203.pdf

State Department Evaluation Policy: http://cas.state.gov/evaluation/evaluation-policy-and-guidance/

Community Toolbox: http://ctb.ku.edu/en/table-of-contents/evaluate/evaluate-community-interventions/choose-evaluation-questions/main

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Section 5: Analyze, Learn, Act

USAID Learning Lab, PMP Toolkit:
http://usaidlearninglab.org/sites/default/files/resource/files/36pmp_toolkit_complete_final_14_aug_2014.pdf

USAID Learning Lab, Data Quality Assessment Checklist
https://usaidlearninglab.org/sites/default/files/resource/files/4-data_quality_assessment_checklist.pdf

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Appendix A: Design a Project

Project Management Institute's "What is Project Management?"http://www.pmi.org/About-Us/About-Us-What-is-Project-Management.aspx

Work Breakdown Structure: http://www.workbreakdownstructure.com/

Work Breakdown Structure According to PMBOK: http://www.workbreakdownstructure.com/work-breakdown-structure-according-to-pmbok.php