APPENDIX B: DESIGN A PROCESS

A process is a series of actions or steps taken to achieve a particular end. Processes may be part of your program and project implementation but may also be part of everyday operations for your office and bureau. For instance, there can be processes to formalize memos, to receive clearance on documents, to view and approve grant submissions, to hold a meeting, or to review visa applications.

The following are tools that are frequently used in designing and implementing a process:

B.1 SIPOC

SIPOC is a one-page document that provides a high-level, clear understanding of the Suppliers, Inputs, Process, Outputs, and Customers associated with any service, operation, or production process. The Teamwork@State SIPOC template can be found here **(SIPOC)**.

B.2 Process Map

SIPOC is a one-page document that provides a high-level, clear understanding of the Suppliers, Inputs, Process, Outputs, and Customers associated with any service, operation, or production process. The Teamwork@State Process Map template can be found here **(Process Mapping)**.

B.3 Value Analysis

Value analysis is a tool to help teams look at steps within a process to identify areas of value and waste (i.e., areas that do not add value). The Teamwork@State Value Analysis template can be found here **(Value Analysis).**

Additional tools and resources are available at the Teamwork@State homepage **(Teamwork@State)**.

APPENDIX C: BLANK TOOL TEMPLATES

Appendix C provides the blank tool templates for you to use to design your program and throughout implementation to monitor its progress. This appendix is divided by section and each template provides instructions for its use. The templates are also available on the **MfR website**.

Section 1: Align Programs to Advance Existing Strategies

C.1 Align Programs to Advance Existing Strategies Tool

Overview

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

Important strategies and reports to consider include:

- Joint Regional Strategy (JRS)

- Functional Bureau Strategy (FBS)

- Integrated Country Strategy (ICS)

- USAID Country Development Cooperation Strategies (CDCS)

- Sustainable Development Goals (SDGs)

- Interagency policies, sector strategies, Presidential directives, commitments, and guidance (e.g. National Security Strategy)

Considerations	Answers
How does the program idea help achieve the goals or objectives from the relevant JRS or FBS?	
How does the program help achieve one or more ICS objectives or sub-objectives?	
Does the scope of the program idea fit within the purview of your office, bureau, or post?	
How have you determined what is necessary for the program to achieve the goals and objectives of higher level strategy?	
How does the program concept help achieve any goals and objectives of agencies or groups outside of the State Department?	
How has the program implemented a plan to ensure continued alignment and advancement of strategy throughout program design and implementation?	

Table 14.   Blank "Align Program to Advance Existing Strategies Tool" Template

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Section 2: Conduct a Situational Analysis

C.2 Internal Assessment Tool

Overview

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

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

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

Questions	Answers
What is the budget of the program?	
How long are people needed?	
Number of personnel available to work on the program?	
How much time does each person have available to support this program and during what periods?	
What specific skills and/or personnel are required to manage this program?	
Are these skills available in the office, bureau, or post?	
If these skills are not available in your office, bureau, or post where will you find them?	
Is additional training required to design and manage the program?	
Is the current information technology platform sufficient to operate the program?	

Table 15.   Blank "Internal Assessment Tool" Template

C.3 External Assessment Tool

Overview

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

External Assessment			
Questions	**Description**	**Answer**	**Could this negatively interfere with program implementation?**
Political/Legal			
Are there political/legal factors that could positively or negatively affect operations or activities?	Laws, regulations, hostility towards such activity		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			
Security			
Are there security factors to consider?	Instability, violent crime		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			
Environment			
What are the natural surroundings that may influence the implementation of the planned program?	Geography, health, natural disaster, climate, etc.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

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Culture			
What are the cultural factors that may influence the implementation of the program?	Consider the societal norms and customs that will influence the implementation of the program.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

Economics			
What are the economic factors that may influence the implementation of the program?	Consider the factors external to your office, bureau, or post such as the economy of the country in which the program will be implemented, economic well-being of the customers or recipients, the costs of operating, etc.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

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Institutional			
What are the institutional factors that may influence the implementation of the program?	Consider the characteristics of any organizations you may need to partner with such as: customs, attitudes, processes, behaviors, etc.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			
Infrastructure			
What are the infrastructure factors that may influence the implementation of the program?	Consider building space, IT (cell phones, computers, internet), water, electricity, etc.		☐ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

Table 16.   Blank "External Assessment Tool" Template

C.4 Five Whys Tool

Overview

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

What is the undesirable symptom you would like to address?	The visible result of the underlying root cause. The problem we would like to solve.	.
First Why: **Why is this happening?**		
Second Why: **Why is this happening?**		
Third Why: **Why is this happening?**		
Fourth Why: **Why is this happening?**		
Fifth Why: **Why is this happening?**		
Team Discussion		
Will the answer to the fifth why potentially address resolve the undesirable cause?		

Table 17.   Blank "Five Whys Tool" Template

C.5 Review of the Problem or Issue Tool

Overview

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

Questions	Description	Answers
What are the root causes of the problem?	The underlying systemic causes of the problem inserted from **Step 2.2**.	
What are the systems and behaviors that keep the problem in existence?	The systems, behaviors, culture, beliefs, power structures, economics, instability, etc. that perpetuate an issue or problem.	
Who are the beneficiaries or customers of the program?	Who will benefit most from the program? Who is in greatest need?	
What are the needs of those recipients?	Consider the population you would like to target. What are their greatest needs?	
How can these needs be met?	Taking into account the root causes of the problem, immediate and long-term needs, how can the program address the needs of the recipients?	
Who are the other actors or potential partners working in the area?	Consider other actors in the area and sector who may be implementing similar programs.	
What are the systems and behaviors that keep the problem in existence?	The systems, behaviors, culture, beliefs, power structures, economics, instability, etc. that perpetuate an issue or problem.	

Table 18.   Blank "Review of the Issue or Problem Tool" Template

3
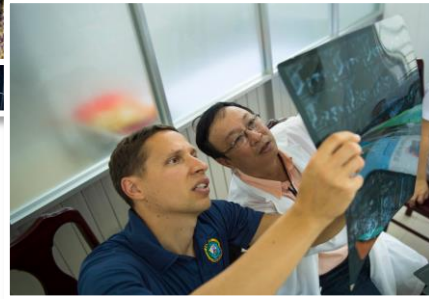
Section 3: Design a Program

C.6 Problem or Needs Statement Tool

Overview

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

QUESTION	CATEGORY	DEFINITION	ANSWER
WHO	*Customers or Beneficiaries Demographics*	Describe the population that is affected by this problem (e.g., age, gender, education, ethnic group, religion, etc.)	
	Stakeholders	Describe who is involved in the issue or challenge	
WHAT	*Scope, Extent, Severity*	Describe the: • Sector, area, or subject matter • Scale or magnitude • Gravity and urgency	
WHEN	*Context*	Describe when the issue/challenge takes place. Be sure to include any specific context or circumstances under which the issue/challenge occurs such as time of day, time of year, or time in one's life. Describe the cultural norms and attitudes that play a role in this issue or problem.	
WHERE	*Location*	Describe the geographic or specific location where the issue occurs.	
WHY	*Causes*	Describe the root causes of the issue or problem.	
HOW	*Effect*	How does the issue affect the customer or beneficiary?	
Problem Statement	Using the information described in the six categories above, write a detailed problem statement to guide the program design process.		

Table 19.   Blank "Problem or Needs Statement Tool" Template

C.7 Program Goals and Objectives Tool

Overview

To develop **program goals and objectives:**

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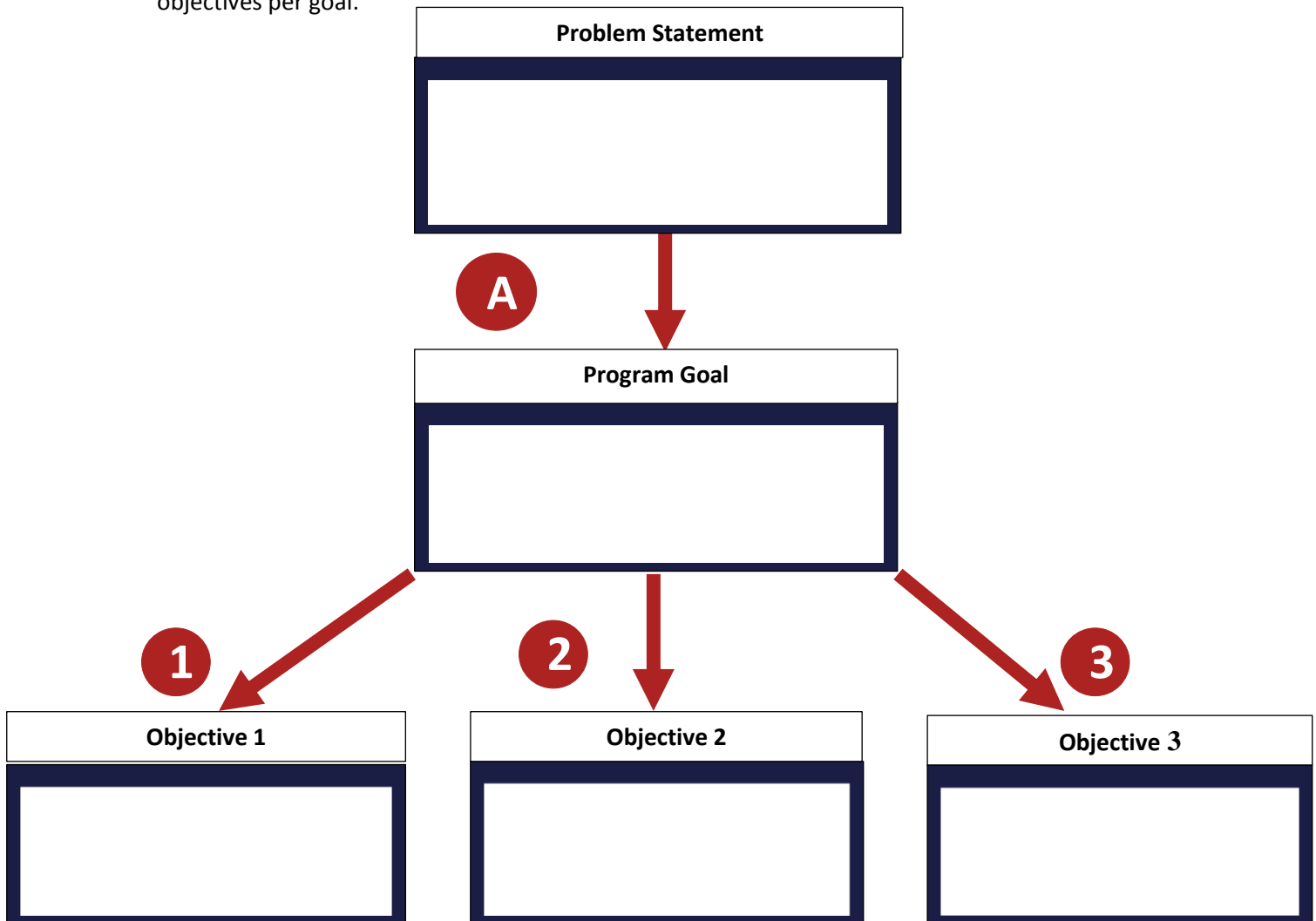4) The worksheet provides space for 3 objectives, but you may have as few as 2 and as many as 5 objectives per goal.

Problem Statement

A

Program Goal

1
2
3

Objective 1

Objective 2

Objective 3

Figure 36.   Blank "Program Goals and Objectives Tool" Template

C.8 Logic Model Tool

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

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

This Tool recommends mapping particular projects together – how one activity or similar set of activities logically flow through the model as seen in the Case Examples in **Section 3.3** and in **Appendix E**.
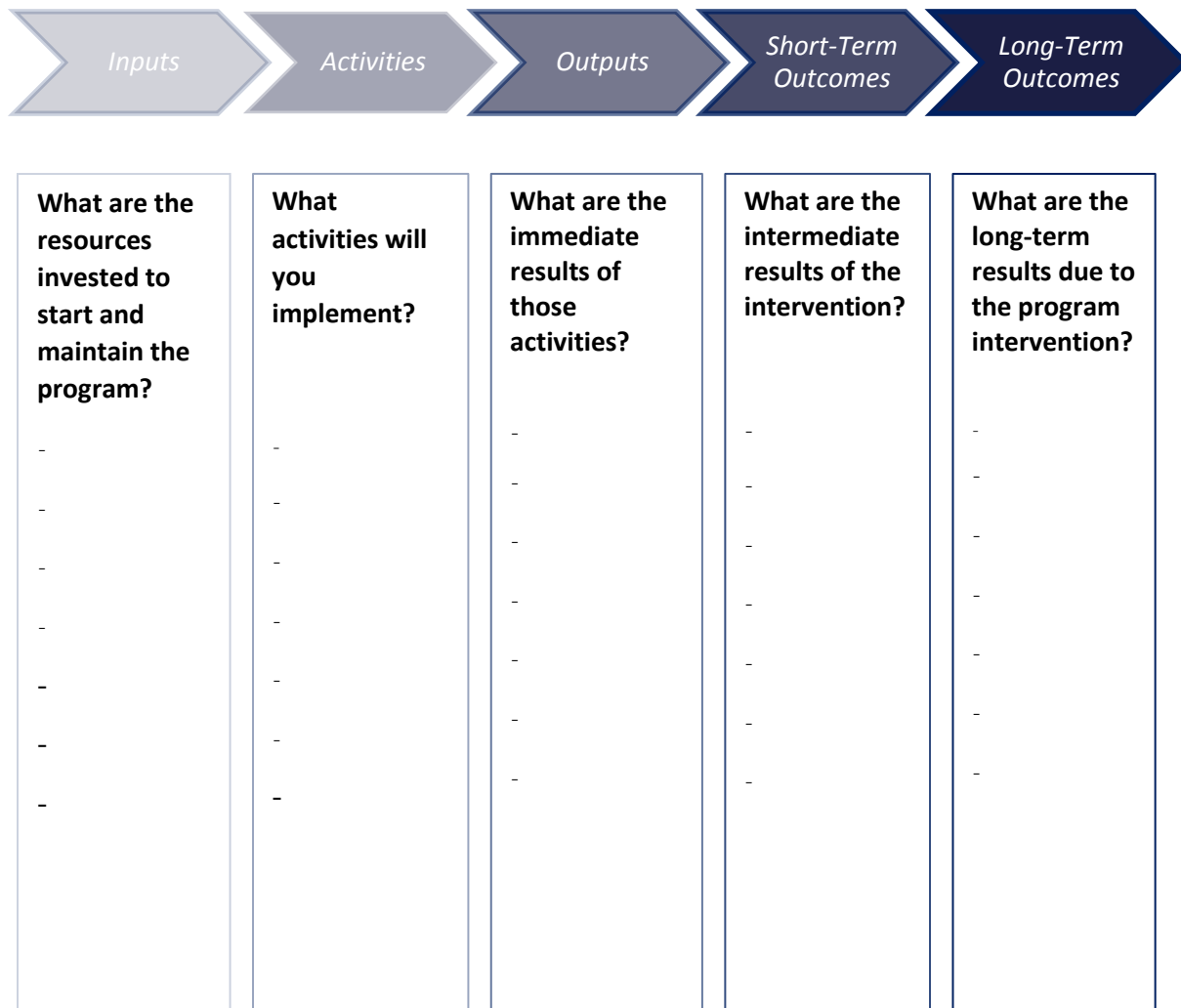
Inputs	Activities	Outputs	Short-Term Outcomes	Long-Term Outcomes
What are the resources invested to start and maintain the program?	**What activities will you implement?**	**What are the immediate results of those activities?**	**What are the intermediate results of the intervention?**	**What are the long-term results due to the program intervention?**
- - - - - - -	- - - - - -	- - - - - -	- - - - - -	- - - - - -

Figure 37. Blank "Program Logic Model Tool" Template

C.9 Program Assumptions Tool

Overview

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

| Inputs | Activities | Outputs | Short-Term Outcomes | Long-Term Outcomes |

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

Figure 38. Blank "Program Assumptions Tool" Template

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Section 4: Manage Performance

C.10 OPUDATA Tool

Overview

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

Indicator:		
Characteristic	**Description**	**Yes or Needs Revision**
Objective	Performance indicators should be unambiguous about what is being measured. They should be unidimensional, which means they should measure only one aspect at a time. Performance indicators should also be precisely defined in the PMP.	☐ Yes ☐ Needs Revision
Practical	Program teams should select performance indicators for which data can be obtained within the cost and time confines of the program.	☐ Yes ☐ Needs Revision
Useful for management	Decision-making needs should be a key factor when selecting performance indicators. Bureaus and offices may want to reference the list of standard foreign assistance indicators to review whether any of these indicators are applicable and useful for measuring progress against the program's goals and objectives (**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
Attributable to program efforts	It is important that performance indicators measure changes that are clearly and reasonably caused by the program's efforts.	☐ Yes ☐ Needs Revision
Timely	Performance indicators should be available when they are needed to make decisions.	☐ Yes ☐ Needs Revision
Adequate	Teams should have as many indicators in their PMP as are necessary and cost effective for results management and reporting purposes. In most cases, two or three indicators per result should be sufficient to assess performance.	☐ Yes ☐ Needs Revision

Table 20.   Blank "OPUDATA Tool" Template

C.11 Indicator Reference Sheet Tool

Overview

An indicator reference tool is one tool to help think through the information necessary in selecting and developing performance indicators. Instructions are included in the second column of this tool, and a blank tool is provided on p.3.

Required Information	Instructions: To Be Completed
Indicator	*The indicator language should be concise and very clear about what exactly is being counted or measured and should spell out acronyms.*
Definition	*The definition explains how you will calculate the data collected to measure the change expected. Clarify everything the program design team needs to know to understand how to use this indicator:* • *Define all potentially subjective terms in the indicator (e.g., what specifically counts as being "trained" or not for purposes of this indicator)* • *Define all technical terms so non- subject matter experts can understand* • *Clarify how frequently the subject of the indicator should be counted (e.g., count each person once even if they receive multiple interventions, or count each instance of the intervention)* • *For "percent" indicators, define what should be counted toward the Numerator and what should be counted toward the denominator* • *Clarify any minimum or maximum values or scales that are relevant for this indicator* *For milestone indicators, clarify who and what is expected to be entered in response to the indicator, such a completion date or a qualitative response about the milestone.*
Linkage to Long-Term Outcomes	*Briefly describe the relationship of the indicator to the desired long-term outcome or impact it supports. Answers might describe the indicator's role in the underlying theory of change, the anticipated effect on longer-term outcomes resulting from a positive or negative shift in this indicator, and/or why the indicator represents a good proxy of progress toward desired goals.*
Reporting Type	*Specify one of the following units of reporting for this indicator:* • *"Number"* • *"Percent"* • *"Date" (Specify if it is a 2-digit month and/or a 4-digit year)* *"Qualitative Response" (Specify set response options if applicable, or very specific instructions for the desired response; note that these are for short qualitative responses of a few words with a max limit of 15 characters and not intended for capturing lengthy narratives.)*
Use of Indicator	*Briefly identify how this indicator will be used to monitor progress in achieving program goals and objectives. Also note if this indicator will be used to monitor progress in achieving bureau or office strategic objectives in the Functional Bureau Strategy (FBS) or Joint Regional Strategy (JRS) (or other such ongoing bureau meetings or progress reviews) and/or how this indicator is used to meet external reporting requirements (such*

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	as the name of the report in which it is used.)
Reporting Frequency	*Frequency for reporting results and setting targets (i.e., quarterly, annually, every two/three/etc. years).*
Data Source	In order to track progress and to properly set baselines and targets, data will need to be collected. *Specify how and when data for this indicator will be generated in very practical terms. Include the specific acceptable method(s) by which data for this indicator are/will be/should be collected. There are two different types of data sources, including those that are specific to your program (primary data) and secondary data sources:* *Data collection tools should be easy to use for both the participant and the person responsible for analyzing the data. Suggested primary data collection tools include, but are not limited to:* • *Pre- and post-tests* • *Informal pre- and post- intervention surveys/questionnaires* • *Formal pre- and post- intervention surveys/questionnaires* • *Meeting minutes* • *Attendance sheets* • *Site visit checklists* • *Interviews (key informant and community)* • *Direct observation* • *Focus groups* • *Program reports* *Examples of secondary data sources include, but are not limited to* • *Host country government reports/data* • *UN, World Bank, and other relevant data* • *Document review (reports, studies, evaluations of similar programs, etc.* • *Official government records* *Official reports from implementing partner(s)*
Bureau Owner(s)	**_Bureau, Office, or Post_**: *(provide as much organizational detail as possible, starting with the bureau and drilling down).* **_POC_**: *Provide at least one point of contact and their name, phone, and email from the owner bureau(s) for consultation and records management purposes.*
Disaggregate(s)	*To disaggregate data means to break it down by subgroups. It is important to consider only the information that you need to know, as there are infinite ways to disaggregate information. Note that all people-level indicators must be sex-disaggregated. Bureaus, offices, and posts are encouraged to limit disaggregates to what is reasonable and feasible to obtain in the field.*

Required Information	Instructions: To Be Completed
Indicator	
Definition	
Linkage to Long-Term Outcomes	
Reporting Type	
Use of Indicator	
Reporting Frequency	
Data Source	
Bureau Owner(s	
Disaggregate(s)	

Table 21.   Blank Indicator Reference Sheet Tool Table

C.12 Monitoring Plan and Indicator Tracking Table

Overview

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

Program Goal:																
Objective 1:																
Indicator	Baseline	Data Source	Data Disaggregation	Frequency of Data Collection	Cumulative Target	Cumulative Actual (to Data)	Q1 Target	Q1 Actual	Q2 Target	Q3 Actual	Q3 Target	Q3 Actual	Q4 Target	Q4 Actual

Table 22.   Blank "Monitoring Plan and Indicator Tracking Table Tool" Template

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Section 5: Analyze, Learn, Act

C.13 Data Quality Assessment Tool

Overview

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

Office, Bureau, or Post Name:
Title of Performance Indicator: *[Indicator should be copied directly from the Performance Indicator Reference Sheet]*
Result This Indicator Measures (i.e., Specify the Development Objective, Intermediate Result, or Project Purpose, etc.):
Data Source(s):   *[Information can be copied directly from the Performance Indicator Reference Sheet]*
Partner or Contractor Who Provided the Data: *[It is recommended that this checklist is completed for each partner that contributes data to an indicator– it should state in the contract or grant that it is the prime's responsibility to ensure the data quality of sub-contractors or sub grantees.]*
Period for Which the Data Are Being Reported:

Is This Indicator a Standard or Custom Indicator?	☐ Standard Foreign Assistance Indicator ☐ Custom (created by the program; not standard)

Data Quality Assessment methodology: *[Describe here or attach to this checklist the methods and procedures for assessing the quality of the indicator data. E.g. Reviewing data collection procedures and documentation, interviewing those responsible for data analysis, checking a sample of the data for errors, etc.]*
Date(s) of Assessment:
Assessment Team Members:
Verification of DQA   Team Leader Officer approval   X_____

		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 believe that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
4	Are sound research methods being used to collect the data?			
RELIABILITY – Data should reflect stable and consistent data collection processes and analysis methods over time.				
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 validate the same procedures are followed each time?			
TIMELINESS – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
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?			
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)			

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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?			
2	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to the data?			
SUMMARY				
Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data?				
Significance of limitations (if any):				
Actions needed to address limitations prior to the next DQA (given level of USG control over data):				

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

Table 23.   Blank "Data Quality Assessment Tool" Template

C.14 Strategic Progress Review Tool

Overview

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

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

Table 24.   Blank "Strategic Progress Review Tool" Template

C.15 Action Items Follow-Up Tracker Tool

Overview

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

Table 25.   Blank "Action Item Follow-Up Tracker Tool" Template

C.16 Work Breakdown Structure Tool

Overview

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

The following guidelines should be considered when creating a work breakdown structure:
- The top level represents the project name
- Tasks are assigned so that when completed it indicates the completion of the project
- All tasks of the work breakdown structure do not need to be defined to the same level of detail
- Tasks are unique and should not be duplicated across the work breakdown structure
- The sub-tasks define the work, duration, and costs required to produce the task
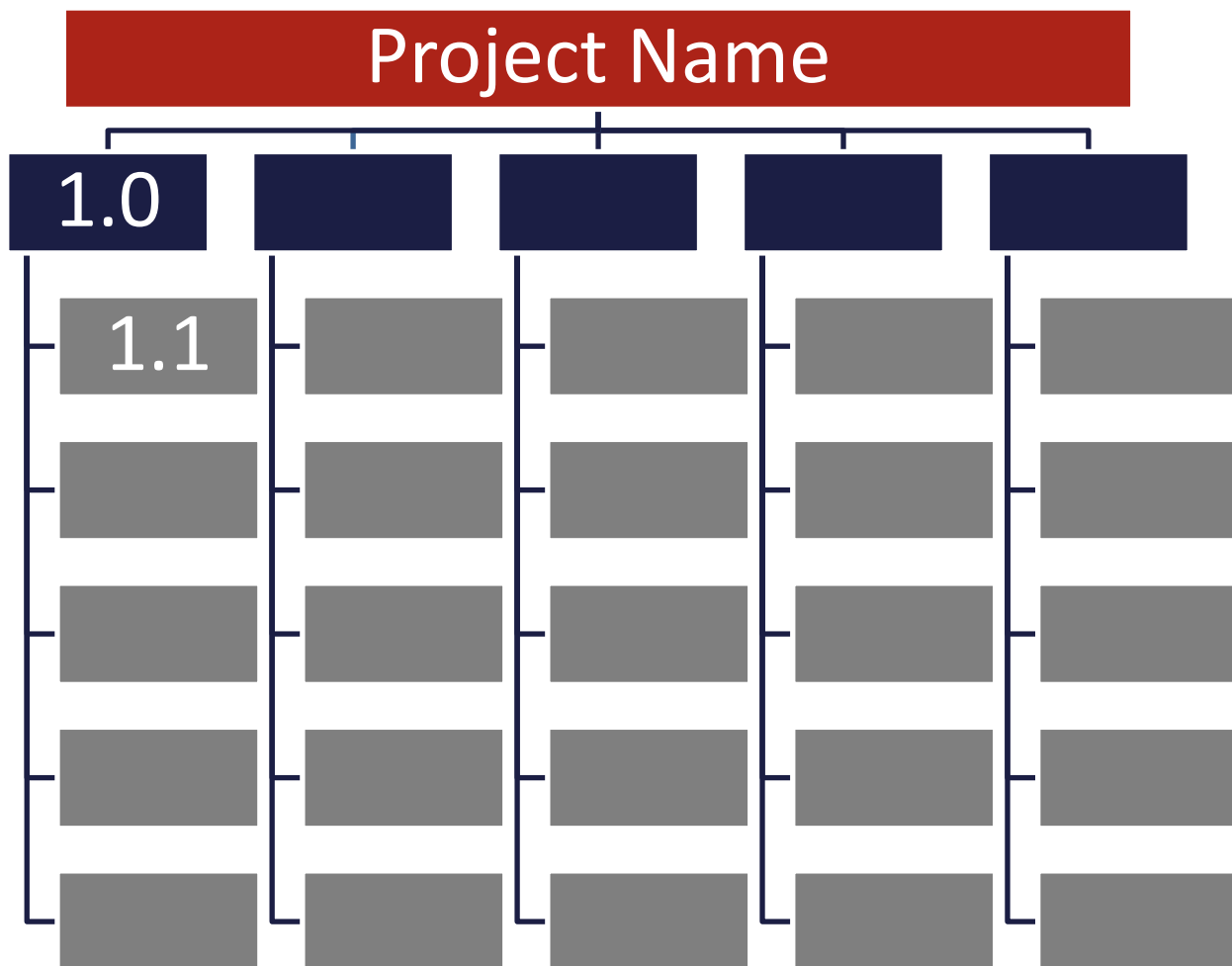
Figure 39. Blank "Work Breakdown Structure Tool" Template

APPENDIX D: DATA COLLECTION METHODS

It is important to note that the information in Appendix D regarding financial resource requirements for data collection tools is generalized. Factors that may influence data collection costs include geography, instability, complexity of the indicator, sample size, frequency of data collection, personnel requirements such as time in the field, number of data collectors, subject matter expertise, etc. This appendix is meant as a guide, not a rule of thumb.

Primary Data Source Information				
Data Sources	Description	Strengths	Limitations	Cost Estimates
Administrative records	Records of services provided and who received them	- Provide quantitative information about implementation - Data may be disaggregated by gender, age, geography, etc.[i]	- Only provides output information	**$**
Attendance sheets	Records of who participated in a particular event	- Helpful in counting participants - Somewhat helpful in gender disaggregation - Ability to gather comparable data across program sites or time intervals	- Only provides output information	**$**
Meeting minutes/ meeting summaries	Information recorded officially or unofficially during meetings	- Provide qualitative information regarding implementation - Provide information about meeting attendance	- May not provide contextual information	**$**
Informal pre- and post-intervention surveys	Short surveys that are administered to a convenience sample[ii]	- Can generate quantitative data when conditions make it difficult or inadvisable to survey a sample that is statistically representative of the population of interest	- Not appropriate for collecting in-depth information - Susceptible to bias because the sample does not represent the population of interest.[iii] - Costs vary depending on the need for interpreters, travel, etc.	**$ - $$**
Pre- and post-tests	Tests that are administered before and after an intervention	- Ability to gather comparable data across program sites or time intervals - Easy to administer	- Only provides output information - Hiring a subject matter expert to design and pilot a test can be costly.	**$ - $$$**

Primary Data Source Information				
Data Sources	Description	Strengths	Limitations	Cost Estimates
Formal pre- and post-intervention surveys	Comprehensive surveys administered to a representative sample	- Ability to gather comparable data across program sites or time intervals - If data are collected electronically, large samples are no more costly than smaller samples. - Statistical analysis of data is feasible.	- Requires technological and personnel resources to administer - Hiring a subject matter expert to design and pilot a survey can be costly.	**$$$**
Site visit checklists	Tools used to observe behaviors, processes, operations, etc. at a particular location	- Ability to gather comparable data across program sites or time intervals	- Cannot be done remotely - Costs vary depending on travel, security, translators, local implementing partners, etc.	**$ - $$$**
Key informant interviews	Interviews with individuals who are likely to provide the needed information, ideas, and/or insights on a particular subject	- Provide in-depth information from knowledgeable persons - Flexibility to explore new ideas and issues that had not been anticipated	- Findings could be biased if the key informants are not carefully selected. - Susceptible to interviewer biases - Interviewers need both substantive knowledge of the subject and interviewing skills. - Costs vary depending on the number of interviews conducted, interview length, data preparation,[iv] travel, etc.	**$ - $$$**

Community interviews	Meetings open to all community members in which the main interactions are between the investigator(s) and participants	- Permit direct interactions between the investigator(s) and a large number of people in the relevant population - Can generate some quantitative data, e.g., by tallying yes or no responses to questions	- Attendees may not represent the relevant population. - Some topics that can be discussed one-on-one cannot be raised in community interviews because of social or political constraints.	**$**
Direct observation	Systematic observation of an event or process as it takes place	- Observation occurs within context. - May reveal social and economic conditions, problems, or behavior patterns that informants are unaware of or unable or unwilling to describe.	- Susceptible to observer bias - If the observed event or process is not representative, the observer may get a misleading picture. - Being under observation can affect the behavior of the people or organizations being observed.	**$**
Focus groups	Moderated discussions among small groups of relevant participants	- Enable information to be gathered rapidly - May reduce individual inhibitions - May generate fresh ideas and insights because the participants stimulate each other	- Susceptible to moderator bias - A few participants may dominate the discussion; their views may not be the views of the entire group. - Cannot provide quantifiable information	**$**

Table 26.   Data Collection Methods

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[i] When developing indicators, it is important to specify how they should be disaggregated and to communicate this information in the statements of work or requests for proposals.
[ii] A convenience sample is made up of people who are easy to reach, e.g., shoppers in a market, workers in a factory cafeteria, or parents at a playground with their children.
[iii] For example, if an intervention targets both men and women, a survey administered to shoppers in order to learn something about the intervention's effectiveness may not adequately capture results for men.
[iv] Interviews should be recorded and transcribed or the interview should take extensive notes and use them to prepare a summary immediately after the interview has taken place.

APPENDIX E: CASE EXAMPLE 2, EMBASSY DISASTER PREPAREDNESS

The second case example can be used for those who work in a management office or on infrastructure programs. The case example follows the program design and performance management toolkit through an embassy disaster preparedness program. The case example is divided by section for ease of use.

Section 1: Align Programs to Advance Existing Strategies

After reviewing the example below, click **here** to use the Align Programs to Advance Existing Strategies Tool.

Embassy Capital City, located in Transdonia, has requested and received $1.5 million through its Mission Resource Request and then through the Bureau Resource Request to create a natural disaster preparedness and mitigation program.

Andre, who works in Management office, is leading the design of the program that will address the natural disaster preparedness and mitigation need at the embassy. It is up to Andre and his team to determine how to use available funds to address increasing risk of flood and earthquake in the immediate vicinity of the embassy.

Management office is responsible for planning for natural disasters that could affect embassy operations. Andre started the program design process by reviewing his embassy's Integrated Country Strategy (ICS). In the document he reviewed the goals and objectives that stated:

-**ICS Mission Goal**: Enhance U.S. interests by building strong institutional relationships between Transdonian and U.S. governments and with public audiences.

-**ICS Management Objective**: In response to humanitarian and environmental emergencies or crises, develop staff and infrastructure to be sufficiently prepared and resilient to continue the Mission function.

Andre also consulted existing regional bureau and functional bureau strategies and confirmed that the preparedness and mitigation approach was aligned with governing strategies. Consulting the country strategy alerted Andre's team to the fact that frequency of flooding was increasing in Transdonia.

Andre will move on to Section 2 of the toolkit: Situational Analysis, to fully understand the current state or condition surrounding the program idea.

Figure 40. Case Example 2, Align Programs to Advance Existing Strategies Information

CASE EXAMPLE 2
Align Programs to Advance Existing Strategies

Considerations	Answers
How does the program idea help achieve the goals or objectives from the relevant JRS or FBS?	Yes. Program supports ICS, which is informed by JRS.
How does the program help achieve one or more ICS objectives or sub-objectives?	Yes. It is informed by one of the ICS Management Objectives.
Does the scope of the program idea fit within the purview of your office, bureau, or post?	Yes. Management office is in charge of planning for natural disaster preparedness and mitigation to the extent they affect embassy operations.
How have you determined what is necessary for the program to achieve the goals and objectives of higher level strategy?	Yes. Management office has chosen a preparedness and mitigation approach.
How does the program concept help achieve any goals and objectives of agencies or groups outside of the State Department?	No. However, preparedness and mitigation planning is in keeping with Transdonian government efforts to promote safety in the event of natural hazards.
How has the program implemented a plan to ensure continued alignment and advancement of strategy throughout program design and implementation?	The management office will continue to coordinate with ICS and JRS authors as the program is implemented and will continue to align with the strategy if there are changes.

Table 27.   Case Example 2, Align Programs to Advance Existing Strategies

Section 2: Conduct a Situational Analysis

After reviewing the example below, click **here** to use the Internal Assessment Tool.

Andre started to design the program by conducting an internal assessment of Management office. He did this to identify the resources and skills his team possesses and to be aware of any potential gaps prior to designing the program. He asked a series of questions of bureau leadership and staff using the Internal Assessment Tool and he found that the resources are available to implement the program.

Figure 41. Case Example 2, Internal Assessment Information

CASE EXAMPLE 2
Internal Assessment

Questions	Answers
What is the budget of the program?	*$1.5 million*
How long are people needed?	*3 year program, re-evaluate thereafter*
How many personnel are available to work on the program?	*3 people in the office*
How much time does each person have available to support this program and during what periods?	• *1 program manager with 50% availability in the next year who could manage overall* • *2 staff who could add support as needed over the next three years.*
What specific skills and knowledge are required to manage this program?	• *Disaster preparedness and mitigation expertise* • *Program management expertise* • *M&E expertise* • *Specialized disaster expertise (possibly for earthquakes)*
Are these skills available in the office, bureau, or post?	*The office has disaster preparedness and mitigation expertise and program management expertise, but must find M&E experience and earthquake experience elsewhere*
If these skills are not available in your office, bureau, or post where will you find them?	• *Will contract locally M&E support* • *Will contract locally for technical support in the field*
Is additional training required to design and manage the program?	*No*
Is the current information technology platform sufficient to operate the program?	*Yes*

Table 28.   Case Example 2, Internal Assessment

After reviewing the example below, click **here** to use the External Assessment Tool.

Andre conducted an external assessment to learn about the environment in which the embassy team will be implementing the program. He included the information in **Table 29.**

Figure 42. Case Example 2, External Assessment Information

CASE EXAMPLE 2
External Assessment

Questions	Description	Answer	Could this negatively interfere with program implementation?
Political/Legal			
Are there political/legal factors that could positively or negatively affect operations or activities?	Laws, regulations, hostility towards such activity	• *Transdonia's Ministry of Disaster Management has a disaster action plan, mandated by national law* • *There is no hostility towards a disaster preparedness plan for Embassy Capital City*	☐ Yes ☒ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary: *Program team should be in contact with the Ministry of Disaster Management so that they are aware that a plan is in place. This also important to confirm that any evacuation planning is coordinated with existing plans for the rest of the city.*			
Security			
Are there security factors to consider?	Instability, violent crime	*The region is stable and peaceful but the capital city is known for property crime.*	☐ Yes ☐ No ☒ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			
Environment			
What are the natural surroundings that may influence the implementation of the planned program?	Geography, health, natural disaster, climate, etc.	• *Capital City is bounded by the coast to the west and by mountains to the east* • *Flooding is happening more frequently following seasonal storms* • *Fault lines run throughout the country* • *It was recently discovered that there is a fault line near the embassy*	☐ Yes ☒ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary: *The severity of flooding is increasing. The future intensity and frequency of earthquakes is unknown. It will be important to reevaluate the program on a regular basis to make sure it is addressing need.*			

CASE EXAMPLE 2
External Assessment

Questions	Description	Answer	Could this negatively interfere with program implementation?
Culture			
What are the cultural factors that may influence the implementation of the program?	Consider the societal norms and customs that will influence the implementation of the program.	*While national government has a planning function, local communities do not have a tradition of planning for preparedness.*	☐ Yes ☐ No ☒ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			
Economics			
What are the economic factors that may influence the implementation of the program?	Consider the factors external to your office, bureau, or post such as the economy of the country in which the program will be implemented, economic well-being of the customers/ recipients, the costs of operating, etc.	• *Transdonian government is unlikely to have financial resources to restore essential infrastructure (communications, roads) rapidly* • *Per-capita income is low and it may not be possible to expect all staff to have adequate supplies on hand in case of sudden onset disaster* • *The economy is highly dependent on the tourist trade from the United States. A sudden onset disaster could seriously affect the local economy. It may also cause many American Citizens to seek assistance from the embassy.*	☐ Yes ☐ No ☒ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary: *Disaster preparedness should include strategies to ensure that staff are evacuated quickly and safely so that operations can continue. Planning should anticipate unavailability of national transportation and communication systems for a minimum of two weeks*			

		CASE EXAMPLE 2	
		External Assessment	
Questions	**Description**	**Answer**	**Could this negatively interfere with program implementation?**
Institutional			
What are the institutional factors that may influence the implementation of the program?	Consider the characteristics of any organizations you may need to partner with such as: customs, attitudes, processes, behaviors, etc.	• *The Ministry of Disaster Management has authority over national preparedness and response in cases of natural disaster* • *Other embassies have developed and instituted preparedness and mitigation plans recently. Embassy Capital City has a history of collaborating when planning similar efforts* • *There are NGOs in the country that are working to increase the country's resilience to natural disaster*	☐ Yes ☐ No ☒ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary: *For the sake of custom, it is best to begin coordination by meeting with the national government.*			
Infrastructure			
What are the infrastructure factors that may influence the implementation of the program?	Consider building space, IT (cell phones, computers, internet), water, electricity, etc.	The embassy is planning to alter compound infrastructure so that it is resilient to flood and earthquake. However, Transdonian infrastructure is vulnerable to these hazards. As a result, the disaster preparedness plan will need to incorporate the likelihood that roads/electricity/communications systems will not function.	☒ Yes ☐ No ☐ Maybe, but not critical ☐ N/A
Notes or mitigation actions, if necessary:			

Table 29.   Case Example 2, External Assessment