

Manual for PIP Project Management

Section IV PIP Project Assessment and Evaluation

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Section IV Project Assessment and Evaluation

Section IV explains the approach and methods of assessment and evaluation of PIP projects, conducted by DPI, MPI-DOE and/or the Planning Department in central government organizations. Although the contents are focused on requirements of the assessor/evaluator, the Project Owner also has to understand these procedures and contents to ensure that the projects proposed meet the assessment/evaluation requirements.

Chapter 1 explains about evaluation in general and the usage of the 5 evaluation criteria.

1. Project Evaluation in General

This chapter explains the definition of evaluation as general terms, and the 5 evaluation criteria.

1.1. Evaluation in General Terms

Evaluation is a periodic study conducted at certain stages of a project. Its ultimate objective is to analyze the situation of the project at a certain point, and to find out whether further improvements are necessary for the PIP project evaluated, and/or the project surroundings. When commencing an evaluation study, evaluation objectives are set up. Without evaluation objectives, the evaluation study lacks its direction, and evaluation results may not be utilized properly.

A good evaluation needs to be credible and useful, at the same time independent and impartial. Evaluation results may be utilized for decision making, therefore the findings require to be proficient but still comprehensible. Evaluation must be done through thorough communication with stakeholders, but analyzed done without unnecessary bias.

To produce accurate and fair evaluation results, evaluation must be done as systematically and objectively as possible.

1.2. The 5 Evaluation Criteria

The 5 Evaluation criteria are standard judgement requirements that are used in Absolute Assessment and Evaluation. It is essential to have a series of common evaluation criteria so that the assessment or evaluation stays consistent.

(1) Definition of 5 Evaluation Criteria

The 5 Evaluation criteria is a comprehensive framework for assessment and evaluation that is commonly used by many international donors. It is an international evaluation standard introduced and recommended by Development Assistance Committee (DAC) in the

Organization for Economic Cooperation and Development (OECD)¹. By using the 5 evaluation criteria in evaluation for all PIP projects in all stages, there would be consistency in management of both the project itself and in comparison to other projects.

The following are the 5 evaluation criteria, along with its basic definitions

Chart 1: Definition of the Five Evaluation Criteria

Criteria	Definition
Relevance	<ul style="list-style-type: none"> • Consistency of the Project Purpose and Overall Goal, with development and policy targets. • Appropriateness of the Project Purpose in line with the needs of beneficiaries, region and economy etc.
Effectiveness	<ul style="list-style-type: none"> • Achievement of Project Purpose, or expectations of its achievement.
Efficiency	<ul style="list-style-type: none"> • Appropriateness of project Inputs and its utilization, including; <ul style="list-style-type: none"> ➤ Cost planned, used and disbursed ➤ Schedule of input and implementation (construction), ➤ Quality of Material and works, and, ➤ Actions for social and environmental approaches.
Impact	<ul style="list-style-type: none"> • Any indirect effect caused by the project implementation. In project assessment, negative impacts on social and environmental aspects are stressed.
Sustainability	<ul style="list-style-type: none"> • Sustainability of the project Outputs and its direct effect after completion.

The project is evaluated from these five perspectives to verify whether it is/was necessary to implement the project, what effects the project has on the beneficiaries, whether the project is/was efficient in terms of effective use of resources, and how long the effects will be sustained. The following are the specific questions, or issues to be addressed for PIP projects by criteria.

Chart 2: Application of the 5 Evaluation Criteria for PIP Projects

Criteria	Issues to be addressed in PIP project assessment and evaluation
Relevance	Whether a project matches the priority of the NSEDP, Provincial and Sector SEDP, targeted beneficiaries, and other national and regional policies at the time of assessment/evaluation. <ul style="list-style-type: none"> • Appropriateness of the Project Purpose (targeted beneficiary and region, etc) • Consistency of the Project Purpose and Overall Goal, between the NSEDP, Provincial and

¹ DAC “Principles for Evaluation of Development Assistance (1991)”, mentions that the 5 evaluation criteria is considered as an international standard when evaluating development projects.

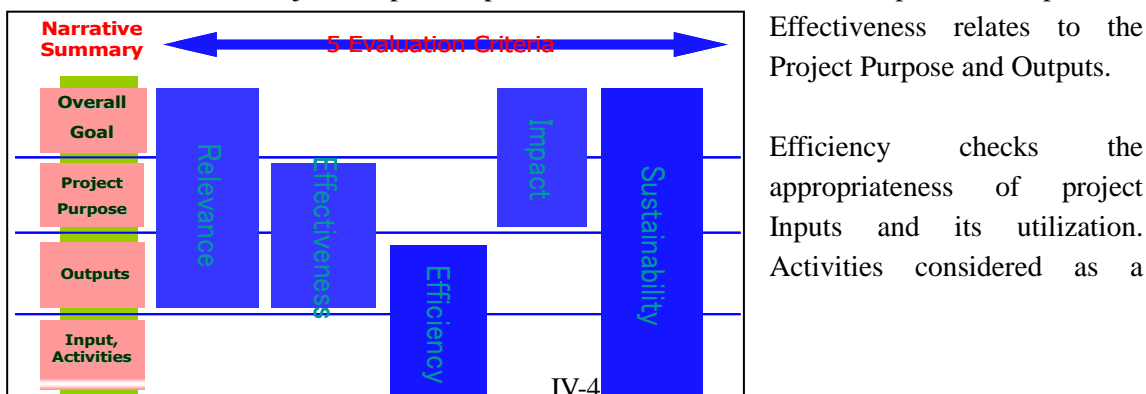
	Sector SEDP, and other policies. *Since development plans, needs and policies change in the course of time, it is important that the project is always evaluated on relevance based on the latest information.
Effectiveness	Whether or to what extent the Project Purpose is achieved. *In the case of newly proposed projects, Feasibility of Effectiveness will be evaluated.
Efficiency	Whether project Inputs are utilized appropriately and efficiently. Whether the Inputs invested through the PIP budget efficiently develops to Outputs. *In case of newly proposed projects, Feasibility of Efficiency will be evaluated Main points are; <ul style="list-style-type: none"> • Total cost, including financial schedule and actual disbursement • Implementation plan and actual schedule of the project • Quality of works and material, and • Action taken for social and environmental issues
Impact (Negative)	Whether or how negative effect is caused through project implementation, and expectations of negative effect after completion. <ul style="list-style-type: none"> • Social impacts such as resettlement and regional conflict • Environmental impacts such as pollution
Sustainability	Whether the outputs and the direct effect produced by the project can be sustained after the project is completed. Existence of Operation and Maintenance (O&M) Plans. <ol style="list-style-type: none"> (1) Responsible organization of O&M (2) O&M schedule (3) Material and equipment needed for O&M (4) O&M tasks and technical aspects (5) Costs required for O&M and its source of budget

(2) Project Framework and Evaluation Criteria

When evaluating a project that has a structured project framework, understanding the relations between the evaluation criteria and the narrative summary helps to analyze evaluation topics in an appropriate manner. Relations between the evaluation criterion and its levels in the Narrative Summary are as follows.

Relevance checks the consistency and appropriateness of the project as a whole. Therefore, it relates to the Overall Goal, Project Purpose and Outputs.

Effectiveness checks the achievement and its expectations to the Project Purpose. Since the achievement of the Project Purpose depends on the achievement of Outputs as components,



Effectiveness relates to the Project Purpose and Outputs.

Efficiency checks the appropriateness of project Inputs and its utilization. Activities considered as a

Figure 1: Narrative Summary and the 5 Evaluation Criteria

process from Input to Output. Therefore, efficiency covers Outputs, Activities and Input.

Impact checks any indirect negative effect caused by the project implementation. It relates to the Overall Goal and Project Purpose.

Sustainability checks whether project results are sustained after completion. It relates to all levels in the Narrative Summary.

2. Project Assessment and Evaluation

In PIP management, evaluation in general is broken up into 2 classifications; ***Assessment and Evaluation***. ***Assessment and Evaluation*** of a PIP project have roles to examine the PIP project in its essential stages. The basic approach of assessment and evaluation is the same. However, the objectives vary depending on the category and stage of the project in subject. The following indicates the definition of assessment and evaluation respectively.

Project Assessment is an inquiry to examine the PIP project before and during its progress, on whether it is necessary to start and/or continue the project implementation (construction). It also examines whether it is worthwhile to allocate the PIP budget, and if so, how much it should be allocated in the next fiscal year.

There are two stages in project assessment; ***Absolute Assessment*** and ***Comparative Assessment***. Absolute Assessment is an intensive assessment focused to each individual project, while Comparative Assessment compares projects within the same sector or region. While Absolute Assessment focuses on the ***“performance”*** of a PIP project, Comparative Assessment focuses to its ***“importance”***.

Project Evaluation is an inquiry to examine the completion status and Operation / Maintenance (O&M) perspectives of the PIP project. It is done so that the project is, or would be effective and sustainable. Evaluation does not have direct links to PIP budgeting. It is normally focused to each individual project.

3. Absolute Assessment / Evaluation

This chapter explains the concept and methods of Absolute Assessment and Evaluation of PIP projects. It first explains the concept and theory, followed by explanation of actual assessment/evaluation methods through certain formats.

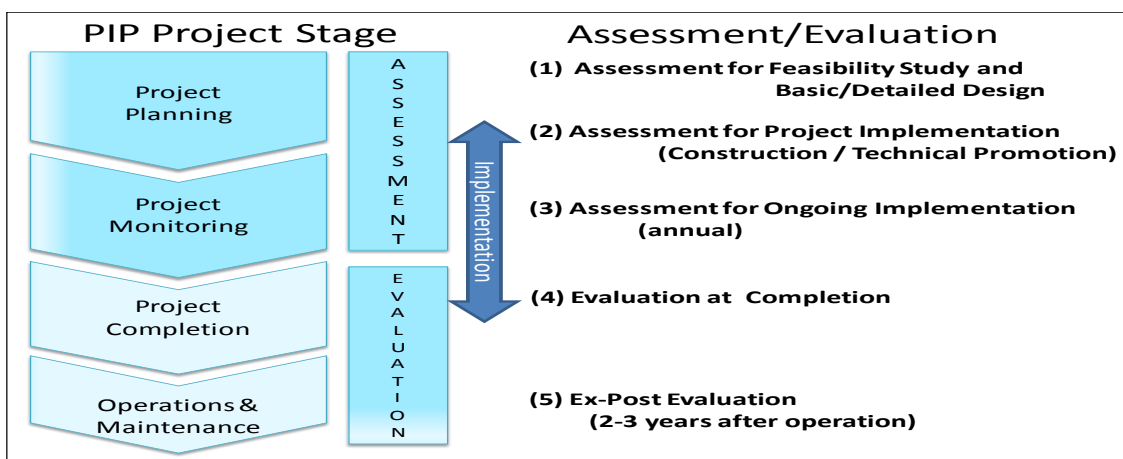
3.1. Definition of Absolute Assessment and Evaluation

Absolute Assessment and Evaluation are both commenced by focusing on one project. The differences between the two are in their objectives. While Absolute Assessment has an objective

to improve new and ongoing projects and allocate PIP budget, Evaluation has an objective to check the completed or operational status.

Absolute Assessment and Evaluation are done in its respective PIP project management stage. Absolute Assessment is done by MPI/DPI with the cooperation from the PO. It is also ideal to commence Evaluation through MPI/DPI, although at times the PO can conduct Evaluation internally. The following chart shows assessment and evaluation done at each stage.

Figure 2: Absolute Assessment and Evaluation done at each project stage



3.2. Absolute Assessment and Evaluation Forms

Simplified Project Assessment Sheet (SPAS) forms are used for Absolute Assessment, and Simplified Project Evaluation Sheet (SPES) forms are used for evaluation. There are 10 types of SPAS forms, and 5 types of SPES forms. The following chart indicates the different types of SPAS and SPES forms;

Chart 3: Types of SPAS Forms

Category	Form Number	Form Title	Characteristics
New Projects	I-1	SPAS for NEW Technical Promotion	<ul style="list-style-type: none"> For new Technical Promotion projects Assessment for <i>PIP Format "I-1 Project Proposal for Technical Promotion Projects"</i> The Technical Promotion Project in subject must be directly related to a certain PIP construction project.
	I-2	SPAS for NEW Feasibility Study and/or Basic/Detailed Design	<ul style="list-style-type: none"> For projects (or project potentials) that require Feasibility Study, Designing and Social / Environmental Assessment with PIP budget before implementation Assessment for <i>PIP Format "I-2 Project Proposal for Feasibility Study and/or Basic/Detailed Design"</i>. Assessment is conducted for both the project idea and the F/S budget

		suitability.
	I-3	<p>SPAS for NEW Construction</p> <ul style="list-style-type: none"> • For projects that have completed Feasibility Study, Designing and Social/Environmental Assessment and are requesting to start implementation of a PIP construction project • Assessment for <i>PIP Format “I-3 Project Proposal for Construction Projects”</i>. • Features economic/financial analysis requirements,
	I-4	<p>SPAS for Feasibility Study and Construction</p> <ul style="list-style-type: none"> • For small and short (1 year) projects that conduct F/S, design and construction in the same year. • Assessment for <i>PIP Format “I-4 Project Proposal for Feasibility Study and Construction”</i>.
Revival Projects	I-5	<p>SPAS for Revival Projects</p> <ul style="list-style-type: none"> • For projects that have been suspended for more than 2 years after ongoing construction, and require PIP budget to restart construction. • Assessment for <i>PIP Format “I-5 Project Proposal for Revival Projects”</i> • Required assumption to revise or modify the original plan that was made before the suspension.
New Projects	I-6	<p>SPAS for New Kum-ban Development Projects under NCRP</p> <ul style="list-style-type: none"> • For projects that request PIP budget as Kum-ban Development PIP project through the NCRP. • Assessment for <i>PIP Format “I-6 Project Proposal for Kum-ban Development Projects under NCRP”</i>
Ongoing Projects	II-1	<p>SPAS for Ongoing Technical Promotion Projects</p> <ul style="list-style-type: none"> • For ongoing Technical Promotion projects that require PIP budget for further implementation. • Assessment for <i>PIP Format “II-1 Progress Report for Technical Promotion Projects”</i>
	II-2	<p>SPAS for Ongoing Feasibility Study and/or Basic/Detailed Design</p> <ul style="list-style-type: none"> • For ongoing Feasibility Study and/or Designing that require PIP budget for further studies/designing. • Assessment for <i>PIP Format “II-2 Progress Report for Feasibility Study and/or Basic/Detailed Design”</i>
	II-3	<p>SPAS for Ongoing Construction Projects</p> <ul style="list-style-type: none"> • For ongoing construction projects that require PIP budget for further implementation. • Assessment for <i>PIP Format II-3 “Progress Report for Construction Projects”</i>
	II-6	<p>SPAS for Ongoing Kum-ban Development Projects under NCRP</p> <ul style="list-style-type: none"> • For ongoing Kum-ban Development PIP Projects through NCRP. • Assessment for <i>PIP Format II-6 “Progress Report for Kum-ban Development Projects”</i>

Chart 4: Types of SPES Forms

Category	Form Number	Form Type	Characteristics
At Completion	III-1	SPES for Completion of Technical Promotion Project	<ul style="list-style-type: none"> • For completed Technical Promotion projects. • Evaluation for PIP Format III-1 “Completion Report for Technical Promotion Projects”
	III-2	SPES for Completion of Feasibility Study and/or Design	<ul style="list-style-type: none"> • For projects that have completed its F/S and Designing stage, and ready for application of construction. • Evaluation for PIP Format III-2 “Completion Report for Feasibility Study and/or Design”
	III-3	SPES for Completion of Construction Project	<ul style="list-style-type: none"> • For completed construction projects. • Evaluation for PIP Format III-3 “Completion Report for Construction Projects”
	III-6	SPES for Completion for Kum-ban Development Project	<ul style="list-style-type: none"> • For completed Kum-ban Development Projects under NCRP. • Evaluation for PIP Format III-6 “Completion Report for Kum-Ban Development Projects under NCRP”
After Completion	IV	Ex-post SPES	<ul style="list-style-type: none"> • For selected PIP projects that have passed a certain amount of years after its completion.

Although the contents of the formats are different depending on the types and characteristics of the project, all SPAS and SPES have the same basic structure. They have;

- Assessment or evaluation questions based on the 5 evaluation criteria.
- A scoring system for each question, where scores are given depending on the status of the project. A scoring guideline is attached to guide the scores for every question.
- Columns are provided for each question, so that reasons for the score results can be described. A column for comprehensive comments, for providing recommendation for the project, is also prepared at the bottom of the format.
- A rating system, of which all projects assessed or evaluated are rated in a range of A to D based on the total of scores, are provided. Projects that are considered unprepared or immature is rated “F”, and rejected to the Project Owner for further consideration and resubmission of completed reports.

3.3. Absolute Assessment and Evaluation Methods

Both SPAS and SPES forms are structured in a questionnaire-type format. There are 10 to 20 assessment questions depending on the type of format. Assessment or Evaluation is done by DPI, MPI-DOE or Planning Department in central government ministries, by analyzing the reports submitted by the Project Owner. Depending on its degree of achievement of the questioned situation, the project is given a certain score based on the scoring sheet attached to the form.

(1) SPAS Form Structure and its Components

The following shows the structure and components of a standard SPAS form.

Figure 3: SPAS format and its Contents

The diagram shows a SPAS form with several sections and callouts:

- Project Name and other basic information:** A yellow callout box pointing to the top header area of the form.
- Evaluation Criteria:** A yellow callout box pointing to the left margin of the form.
- Evaluation Questions:** A yellow callout box pointing to the main body of the form where questions are listed.
- Scores:** A light blue callout box pointing to the right side of the form where numerical scores are recorded.
- Comments:** A light blue callout box pointing to the bottom section of the form where detailed feedback is provided.
- Evaluation Category:** A yellow callout box pointing to the left margin, specifically to the category labels for each question.

The form itself is a table with columns for question details and scores. It includes sections for project information, a list of evaluation questions with their categories, and a section for providing scores and comments for each question.

The assessor scores each evaluation question, which is related to some evaluation criterion and category. After providing the score, the assessor describes its reasons in the comment column. After covering all questions, scores are added up. The total score is then compared with the rating chart, and appropriate rating is found.

After analyzing the total rating and assessment results of each question, the assessor then provides comprehensive recommendations to the Project Owner, for further improvement of the project contents.

(2) Scoring

The scoring sheet shows the supposed situations of project for each evaluation question. The scores are higher when the situation of the project is ideal. The following shows the selection chart and scoring recommendation for a certain evaluation question.

Evaluation Criteria	Evaluation Category and Question
Probable situation of the project.	0
	1-3
	4-9
Scoring Range	10

Figure 4: Structure of SPAS Scoring Standard

There is usually a range of scores for each probable situation of the project. Based on the actual situation, the assessor has to give an appropriate score within the range. If the actual situation is considered close to the more improved probable situation, the score is given higher within its described range. If the actual situation is considered close to the worse probable situation, the score is given lower within its described range.

After considering the score, the score result is described in the SPAS form. Then, comments on the reasoning of the score are described. The scoring results and comments should therefore be related.

Evaluation Criteria	Evaluation Category and Question	Scoring Result	Comments
		0	
		1-3	
		4-9	
			Reasons of why the actual situation is as scored.

Figure 5: Scores and Comments on SPAS

(3) Rating

A rating system is introduced as a conclusion guideline in SPAS and SPES. The rating ranges from A to D, and an F included for projects that are immature, therefore rejected.

After all questions are scored and reasons commented, all scores are added up², and the total score is described in the “Total Score” column. The total score is then compared with the rating chart in the scoring sheet. The following shows the rating chart for SPAS before Construction.

Figure 6: SPAS Rating Chart

Total Score	Rating Result
≥ 205	A
169 - 204	B
133 - 168	C
132	D
0 - 131	F

Note: The image contains a heavily distorted table with illegible text. The above table is a reconstruction of the intended data based on the surrounding text and the visible structure of the table.

The projects are rated closer to A when the scores are higher. In SPAS for New Construction Projects (PIP format I-3), if the scores add up to over 205, the project is rated A. If the added scores are between 169 and 204, the project is rated B, and so on.

If the project is scored 0, or scored in the second lowest range (in case when 10 is the highest, it is scored 0-4), in **ANY OF THE QUESTIONS**, the rate becomes “F” nonetheless the total score reaches certain rates.

It must be noted that the maximum total score of SPAS and SPES is different, therefore the scoring and rating relations varies depending on the form. The following chart shows the rates, required scoring percentage (full scores considered 100%), and the probable situation and analysis of the projects.

Chart 5: SPAS Rate--/Score Standard

Rating Result	Scoring percentage	General Situation	Analysis and Follow-up
A	Over 85%	The project (or project potential) is in good condition. It can be implemented effectively and efficiently if PIP budget is approved.	Try improving minor points. Ensure that the project implementation follows the current plan.
B	71% to 85%	The project (or project potential) is in fair condition, although some improvements are recommended before implementation in some aspects. The project may face minor difficulties if implemented as it is reported.	Try improving the project with the priority on improvement based on the recommendations made in the assessment. When implemented, take special attention to points that are considered weak.
C	56% To 70%	The project (or project potential) is not in good condition, and improvements are recommended before implementation in many aspects. The project may have major difficulties if implemented as it is.	Recommend to improve plans before implementation. If there are many difficult points, it is recommended to redesign the project from the basic concept.

² Depending on the format used, there are some exceptions. I-2 SPAS before F/S and II-2 SPAS during F/S require different ways. See chapter xx (page xx) for details.

D	Under 55%	The project (or project potential) is in a very bad condition overall, and reconsideration of the project is highly recommended. The project is definitely ineffective and inefficient if implemented as it is.	Strongly recommend to redesign the project altogether.
F	-	The project is facing a critical defect in at least one aspect of the project. The project is rejected to the Project Owner to reconsider the critical point. It must be re-assessed. If the defect cannot be amended, the project is rejected altogether.	Must redesign defected points, and receive re-assessment before proceeding.

There is an ideal probability of all PIP project being rated “A”. However, in reality not all project can be rated “A”, moreover, the more assessment or evaluation becomes mature; the results tend to become strict. Ultimately, all projects fitted within the range of “A” and “B” may be an ideal target for PIP project improvement.

(4) Improvement of Projects in the Assessment Process

One of the objectives of Absolute Assessment is to find out whether further improvements are necessary for the project. Therefore, in the process of assessment, discussions are made among MPI, DPI and PO to seek countermeasures to the project issues in relation to the SPAS results and recommendations.

If improvement is possible through these countermeasures, the project is reassessed and provided improved results. If the rating improves, the improved rate is considered as the updated rate of the project. Attempt for improvement may be continued until the submission of SPAS results to the Decision Maker.

(5) Criteria Weight and Score-Rate Relations by Form

As mentioned in Chapter 3.2, there are various types of SPAS and SPES forms to match the assessment / evaluation objective of each project and its stage. The 5 evaluation is used in all forms, but depending on the project type and stage, the importance of each criterion is different, therefore the weight of importance affecting the total score has been adjusted.

Generally, the following definitions are used as a guideline for criteria weight.

Chart 6: Guideline of Criteria Weight by Project Stage

Project Stage	Important Points (higher weight)
New projects (before implementation)	<ul style="list-style-type: none"> • Verification of relevance and necessity of project. • Confirm feasibility of effectiveness. • Existence of an Operation & Maintenance idea (especially the organization in charge) in the planning stages (sustainability).
Revival project (after suspension)	<ul style="list-style-type: none"> • Relevance of the project based on the updated development goal and plan. • Expectations of effectiveness and efficiency of the project BASED ON a REVISED PLAN.

	<ul style="list-style-type: none"> Any social and/or environmental negative impact caused during suspension, or expected upon revival.
Ongoing (during implementation)	<ul style="list-style-type: none"> Efficiency (schedule, cost, quality of work) of the project. Effectiveness, or whether the Project Purpose would be achieved. Any social and/or environmental negative impact caused during implementation.
Completion	<ul style="list-style-type: none"> Achievement of the Project Purpose (effectiveness). Existence of a detailed Operation & Maintenance Plan (sustainability). Any social and/or environmental negative impact caused during implementation, or may arise during operation stages.
Operation	<ul style="list-style-type: none"> Results of operation and progress of maintenance (sustainability). Achievement of the Overall Goal (relevance). Any social and/or environmental negative impact caused during operation.

Chart 7: Guideline of Criteria Weight by Project Type

Project Type	Important Points
Technical Promotion	<ul style="list-style-type: none"> Sustainability of the technical progress. <p>(Social and environmental negative impacts generally does not affect technical promotion projects, therefore no assessment questions.)</p>
Feasibility Studies and Designing	<ul style="list-style-type: none"> Assessment of the project (expected construction) and the F/S itself is separately done. Therefore an independent criterion “F/S & Designing” is set up. Both the project and F/S need to reach the scoring requirements. Rating is based on the lower rate of achievement (i.e. if the project score reaches “A” and F/S reaches “C”, the total rating “C” is applied.) For Ongoing F/S & Design SPAS (II-2), only relevance is asked for the project itself. Other questions are related to the F/S & Design.
Construction	<ul style="list-style-type: none"> Relevance of the project from the development plan, beneficiaries and regional viewpoints. Cost efficiency, schedule and quality of works. Social and environmental negative impacts always monitored. Existence O&M organizations and plans.

Criteria for each SPAS forms are developed by combining the abovementioned 2 definitions. The following chart indicates the actual scores and weight by criterion for SPAS forms (I-1 to II-3). Note that for SPAS related to Feasibility Study, a criterion “F/S & Designing” is set up.

Chart 8: Scores and Weight Comparison for SPAS Forms (New Projects; I-1 to I-6)

	I-1(T/P)		I-2(f/s&D)		I-3 (Const.)		I-4(for F/S & const)		I-5 (revival)		I-6 (Kum-ban)	
	points	ratio%	points	ratio%	points	ratio%	points	ratio%	points	ratio%	points	ratio%
1. Relevance	60	33.3%	80	47.1%	100	41.7%	80	36.4%	60	28.6%	110	45.8%
2. Effectiveness	50	27.8%	50	29.4%	50	20.8%	50	22.7%	40	19.0%	50	20.8%
3. Efficiency	40	22.2%	40	23.5%	40	16.7%	40	18.2%	40	19.0%	30	12.5%
4. Impact	0	0.0%	0	0.0%	20	8.3%	20	9.1%	40	19.0%	20	8.3%
5. Sustainability	30	16.7%	0	0.0%	30	12.5%	30	13.6%	30	14.3%	30	12.5%
TOTAL	180	100.0%	170	100.0%	240	100.0%	220	100.0%	210	100.0%	240	100.0%
6. F/S & Designing	-	-	50	-	-	-	-	-	-	-	-	-

The following indicates the actual score and weight by criterion for SPES forms. Note that for ex-post evaluation, effectiveness and efficiency of the finished project is not deeply analyzed, therefore not scored.

Chart 9: Scores and Weight Comparison for SPAS Forma (Ongoing Projects: II--1 to II-5)

	II-1(Ongoing TP)		II-2(ongoing F/S)		II-3 (ongoing constr.)		II-6 (Kum-ban devt.)	
	points	ratio%	points	ratio%	points	ratio%	points	ratio%
1. Relevance	20	28.6%	20	100.0%	20	20.0%	20	20.0%
2. Effectiveness	20	28.6%	0	0.0%	20	20.0%	20	20.0%
3. Efficiency	30	42.9%	0	0.0%	30	30.0%	30	30.0%
4. Impact	0	0.0%	0	0.0%	20	20.0%	20	20.0%
5. Sustainability	0	0.0%	0	0.0%	10	10.0%	10	10.0%
TOTAL	70	100.0%	20	100.0%	100	100.0%	100	100.0%
6. F/S & Designing	-	-	40	-	-	-	-	-

3.4 Evaluation of a Completed Project

Evaluation for PIP projects are done at time of project completion, after the Project Owner has submitted the Completion Report. This evaluation session is called *Terminal Evaluation*. Terminal Evaluation is obligatory for PIP projects for the following reasons;

As mentioned earlier, Terminal Evaluation is conducted after the Completion Report is submitted from the Project Owner, it must be conducted as soon as possible, ideally within the financial year that the project is physically conducted.

For PIP projects that have not completed its payment within the physical completion and require budget for the following years to complete its payment, the Terminal Evaluation results must be submitted along with the Completion Report as attachments every time the PIP budget is requested.

4. Comparative Assessment

This chapter explains the concept and methods of *Comparative Assessment (CompAss)*. Explanation concentrates on the method of *CompAss Workshop*, where PIP projects are discussed and compared, among participants related to the subject.

4.1. Definition of Comparative Assessment (CompAss)

CompAss is conducted by comparing PIP projects within a certain sector or region. Its objective is to recommend the best choice of PIP projects, or best allocation of PIP budget within projects that are applied in the same sector or region.

Due to many limitations, not all projects that have been requested from PO's are approved and implemented. The typical reason is from the limitation of PIP budget. Through *CompAss*, it would be capable of selecting the most important projects within these limitations.

With the same reason as mentioned above, ODA projects are not exceptions. Although the ODA/PIP projects are basically given high priority among all the PIP projects, the PIP budget limitation does not allow all the ODA/PIP projects to be allocated with national contribution budget. Therefore, both ODA/PIP and domestic PIP projects must be placed on one table to be assessed with *CompAss*.

CompAss can be done when there is a common subject in the projects that are being assessed. Subjects can either be a sector, sub-sector or region. If there are projects with more than one related subject, it is recommendable to conduct *CompAss* in separate sessions. In case of provinces, it would be realistic if *CompAss Workshops* are done by each sector department (or sub-department). When the issue is on rural development, it can be done within districts, *kum-bans* or villages.

Conclusion and outputs of *CompAss* vary depending on the situation of the subject and availability of information. Assessment results can be simple recommendations of "more important" or "less important" projects, or may proceed to allocation of budget of each project. Levels of suggestion also vary; while in some cases suggestions limit to simple recommendations, others may extend to orders. It is therefore important that before commencing the Comparative Assessment, MPI/DPI and the organization in charge of the subject agree on the expected conclusion and outputs, including its level of effect.

4.2. Comparative Assessment Workshop

CompAss deals with information from various sources, therefore difficult to come to conclusion by individuals. Therefore, *CompAss* is generally done through a *workshop* session with participation of stakeholders from the projects, sector and region. Using a *CompAss Chart* as the base of discussion, workshop participants discuss and analyze the importance of PIP projects related to the development criteria in the sector or region.

The following subchapters explain the requirements, methods and tools for a CompAss Workshop.

(1) Pre-Selection of the projects

Some PIP projects with certain conditions can get special priority to be applied by Pre-Selection procedure, without CompAss. The process and criteria of the Pre-Selection are mentioned below;

1) In case of ODA/PIP

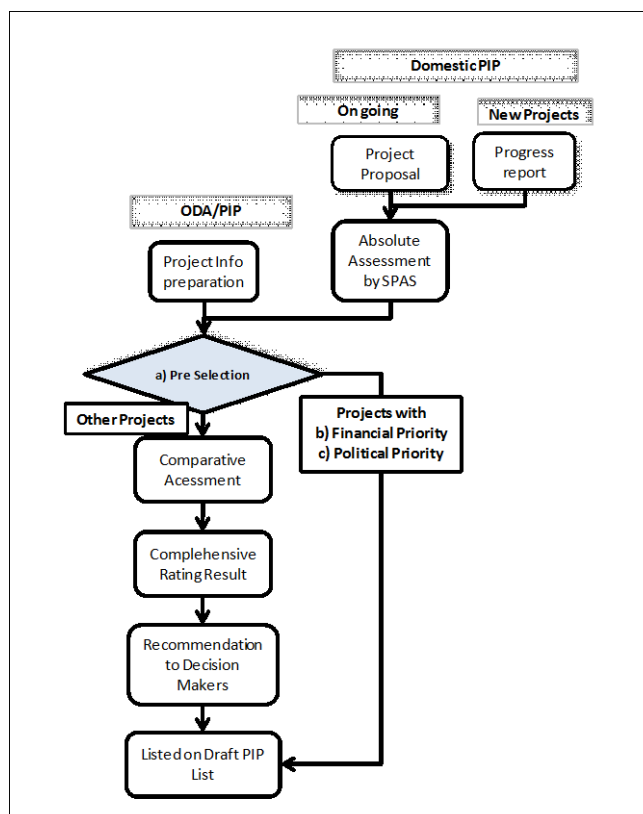
- a) **Pre-Selection by financial priority;** According to financial analysis based on Mid-Term PIP Expenditure Outlook, some particular ODA/PIP projects such as heavily indebted projects should be given urgent priority and be applied on the draft PIP list without CompAss due to their financial urgency.
- b) **Pre-Selection by political priority;** According to official decision with democratic transparency in the political level, some particular ODA/PIP projects such as emergency relief projects should also be given special priority and be applied on the draft PIP list without CompAss.
- c) **Listing ODA/PIP for CompAss;** The remaining ODA/PIP projects that have not been given either financial priority or political priority through the Pre-Selection process in above a) and b) should be discussed in the CompAss procedure.

- d) **Giving result “A” to remaining ODA/PIP projects;** Due to the assumption that all ODA/PIP projects are properly managed and monitored along with the development partner, as long as the project information and the national contribution budget is clear, all ODA/PIP projects should be given rate “A” as absolute assessment results before CompAss.

2) In case of domestic PIP

- a) **Absolute Assessment by SPAS;** It is essential for all the domestic PIP projects to be assessed by Absolute Assessment with SPAS. Methodology of Absolute Assessment with SPAS is

Figure 7: PIP Budget Report Flow toward CompAss



explained in Chapter 3 “Absolute assessment”.

- b) **Pre-Selection by financial priority;** According to financial analysis based on Mid-Term PIP Expenditure Outlook, some particular domestic PIP projects such as heavily indebted projects should be given urgent priority and be applied on the draft PIP list without CompAss due to their financial urgency. **Pre-Selection by political priority;** According to official decision with democratic transparency in the political level, some particular domestic PIP projects such as emergency relief project should be given special priority and be applied on the draft PIP list without CompAss, too.
- c) **Listing Domestic PIP projects for CompAss;** With the same manner as in the case of ODA/PIP projects, the domestic PIP that have not given either financial priority or political priority through the Pre-Selections in above b) and c) should be discussed in the CompAss procedure.

(2) General Conditions and Procedure of the Workshop

As mentioned above, the CompAss Workshop is held with a certain subject or theme, which means that PIP projects that are supposedly related to the subject or theme would be compared through the workshop.

It is ideal that no more than 10 projects are on the table for comparison. It would be difficult for the participants to follow the contents of each project, which is required when providing comparative scores. If there are more than 10 projects in the same subject, sector or region, it is recommended to further categorize the projects into sub-sectors or smaller regions.

The following shows an ideal situation of a CompAss Workshop;

Chart 10: CompAss Workshop Case

< Subject: CompAss Workshop for Health Sector in xxx Province >
< Assessment Objective and Number of Projects > <ul style="list-style-type: none"> • PIP budget for provincial health department is very limited. Budget has room for only 3 to 5 projects in full scale. • There are 5 ongoing projects and 3 new projects to be compared. 4 of them are Technical Promotion Projects (2 ongoing and 2 new) • 1 of the 5 projects is an ODA/PIP projects. Others are domestically funded. • All domestically funded PIP projects have completed SPAS.. • The ODA/PIP project has completed SPIS and has been automatically given SPAS result “A”.
< Duration; 2 to 3 days > <ul style="list-style-type: none"> • 1/2 day pre-meeting session (selection of projects and request for information) • 1-2 day workshop session • 1/2 day presentation to authority

- < Participants; 10 to 14 participants >
- 3 DPI staff, including 1 staff acting as facilitator.
 - PO for all 8 projects (some staff may be in charge of more than 1 project).
 - 2 staff from Provincial Department of Health, Planning Division.
 - 1 staff from MPI, and 1 staff from Ministry of Public Health as observers (if possible).

Ideal procedure of the workshop is as follows

Chart 11: CompAss Procedure

Topic title	Procedure
0. Orientation	<ul style="list-style-type: none"> • Explanation of the workshop objective, method used, expected outputs and schedule by the facilitator.
1. Presentation of Development Plans and Projects	<ul style="list-style-type: none"> • Briefing of the health situation in the province by staff from Planning Division from Provincial Department in subject. • Briefing of PIP projects by PO to other participants. • Discuss and confirm the PIP projects that should be compared.
2. Select CompAss Criteria	<ul style="list-style-type: none"> • Discuss and decide the important criteria for comparison within the sector. • Provide coefficient rate to criteria depending on its importance.
3. Compare and score projects	<ul style="list-style-type: none"> • Compare the influence of each project to the criteria. • Score depending on its influence.
4. Coefficient score and total	<ul style="list-style-type: none"> • Multiply each score with the coefficient rate. • Sum up the total for each project.
5. Rating	<ul style="list-style-type: none"> • Rate the project depending on the order of total.

The facilitator has an important role of guiding the workshop. The facilitator needs to know both the CompAss method and the subject of discussion. It is also required to smoothly direct the discussions to its conclusion.

(3) CompAss Chart

The CompAss Chart is the tool used in the workshop. It is a matrix to merge the projects to the criterion. By using this tool, discussions become focused and conclusions come out relatively smoother.

Projects to compare are seen by rows, and the assessment criteria are seen by columns. Total scores and rating is seen on the columns on the right side. When workshops are conducted, this chart can easily be written on large papers or on a whiteboard.

Chart 12: CompAss Chart

		x2,5	x1	x1	x2	Rating results	
		^f zjo7; k n89q	^6zjrodio 4k xjg bwi	g jzr^y8t zag9h	zts^ygea l p7h		
A	I-qj b^mno	(2) 5	(2) 2	(2) 2	(1) 2	11	C CA
B	II -qj t	(2) 5	(3) 3	(2) 2	(2) 4	14	B BB
B	III b^ra	(2) 5	(3) 3	(3) 3	(2) 4	13	B BB
	(3) 7,5				(2) 4	14	
A	Vzr^yil q P vlsio	(1) 2,5			(3) 6	12,5	B BA

Projects

Score by criterion

Total score

(4) Preparation

Preparation is important for CompAss. Accuracy of the workshop may change depending on the preparation. The following points must be prepared and cleared before conducting the workshop.

Chart 13: Preparation for CompAss Workshop

Preparation Topics	Specific Points to Follow-up
1. Selection of subject	<ul style="list-style-type: none"> Based on the PIP Project List and application by sector or region, MPI/DPI decides which subject the CompAss session should be commenced. MPI/DPI coordinates with the organizations related to the subject (including PO) on the commencement of the workshop. It is important that the specific definition and borderline of the subject is clarified beforehand.
2. Selection of projects to be compared	<ul style="list-style-type: none"> Based on the PIP Project List and application, MPI/DPI coordinates with related organizations on which PIP project should be compared, and which should be left out. A pre-meeting session is recommended.
3. Agreement on the workshop outputs	<ul style="list-style-type: none"> Conclusions and outputs of the workshop vary depending on the situation faced and information obtainable. Therefore, it is necessary to discuss on what conclusions and outputs can be expected through the workshop.
3. Selection of workshop participants	<ul style="list-style-type: none"> Based on the subject and projects to be compared, workshop participants are decided and announced. It is important to provide the workshop objective along with the announcement.
4. Preparation of Development Plans, Programs	<ul style="list-style-type: none"> MPI/DPI requests preparation of SEDP for the sector / region to related organizations. If PIP Program Workshops³ are already held, its analysis results are very useful. These documents are compiled and distributed to all workshop participants in prior of the workshop, along with a request to read through beforehand.
5. Preparation of Project Information	<ul style="list-style-type: none"> MPI/DPI requests the PO for information and documents of all projects that has been selected for comparison. These information are compiled and distributed to all workshop participants in prior of the workshop, along with a request to read through beforehand.

Abovementioned topics 1 to 3 can be done through a pre-meeting session among MPI/DPI and organization in charge of the subject. Also, as stated in the chart, prior studies of development plans, PIP programs and project for comparison is needed by the participants. This ensures smooth discussions at the workshop, without spending time for repeated explanations.

(5) Orientation

The workshop is opened with an orientation session by the facilitator. Recommendable topics to

³ PIP Program Workshop : PCAP recommends that a PIP Program Workshop is held before entering Comparative Assessment workshop. A PIP Program Workshop is held jointly by CPI/DPI and organizations related to the subject. See “Manual for PIP Program Management” for more details.

be covered at this session are as follows;

Chart 14: Orientation Topics in the CompAss Workshop

Orientation Topics	Specific Points to Follow-up
Explanation of the workshop objective and expected outputs	<ul style="list-style-type: none"> • It is important to clarify the workshop objective, including its expected outputs first. • Although participants may already have a rough idea, the aim is to create a consensus of its goal.
Presentation of the workshop method and schedule	<ul style="list-style-type: none"> • Explain the workshop method in brief. This is needed beforehand so that the participants can understand where they can reveal their topics. Specific procedures can be explained during the actual workshop. • Explain the schedule of the workshop. Schedule is one of participants' topic of interest. Moreover, it helps in the sense of time management.
Introduction of facilitator and participants	<ul style="list-style-type: none"> • Have an introduction session. Introduction of the facilitator is very important. Good introduction may lead to good impression by the participants, which would make the facilitation easier. • It may be good if an "introduction sheet" is made on large paper showing the participant's name, organization and projects in charge (for PO).

(6) Presentation of Development Plans, PIP Program

After orientation, a brief presentation of development plans and PIP program of the subject, preferably by Planning Division staff from the department or region in subject is done. The presentation would be closely related to selecting the CompAss Criteria as described in (6).

(7) ODA/PIP Projects

ODA/PIP projects and domestic PIP should be on the same table of the comparison. Each project should be evaluated by Absolute Assessment and compared by CompAss for better achievement of the SEDP. If some listed ODA/PIP projects for the next year have any of special priority in financial or political aspects beyond any comparison, they should be applied after the Pre-Selection before and without CompAss. However, it is often impossible by limitation of national contribution budget that all the listed ODA/PIP projects can be applied. Therefore, consequently, some or many ODA/PIP projects must remain on the table for CompAss. In this case, the remaining ODA/PIP projects should have no more priority on the CompAss, except that the Absolute Assessment results are automatically given "A" rate to the ODA/PIP projects. If the stakeholders are not satisfied with the point that some ODA/PIP projects do not get higher rate through CompAss, the ODA/PIP projects should have been selected on the Pre-Selection by political and/or financial reasons.

(8) CompAss Criteria

While the 5 evaluation criteria are used as a standard in Absolute Assessment, the evaluation criteria of CompAss are not fixed beforehand, rather decided depending on the background of the assessment. It is decided before or during the CompAss Workshop.

Generally, SEDP priorities and target of the respective sector and/or group are selected as criteria. However, depending on the characteristic of the session, the criteria is discussed and decided within the participants. In such cases, the facilitator must clarify the definition of the criteria so that each participant has the same view and consensus when conducting the comparison of projects. Indicators may be used to clarify the criteria. Ideally, 4 to 5 criteria are reasonable from the workshop viewpoint. However, it depends on the priorities and target of the subject. Following are example of assessment criteria in sectors and region.

Chart 15: Examples of CompAss Criteria in Sector and Province

Assessment Criteria for Education in xxx Province	Assessment Criteria for xxx District, yyy Province
<ul style="list-style-type: none"> • Construction of primary schools (target of completing 20 more schools by 2010). • Provision of textbooks for all children (target of 100% distribution by 2010) • Improvement of primary school entrance for ethnic children (target entrance ratio of 75% by 2010). • Improvement of curriculum in secondary schools (curriculum and textbooks renewed to match new standards, to be completed by 2008) • Improvement of teacher quality (teaching capability for all teachers reach national standard level by 2010) • 	<ul style="list-style-type: none"> • Electrification to all villages by 2010 (outreach to 5 villages). • Improvement of access to 10 villages by 2010 (road completion 40km, repair 4 bridges). • Improvement of agriculture and handicraft production and sales outside the district (cash-crop production, handicraft production training, marketing, access etc.) • Construction of District Hospital (includes instalment of facilities, hiring nurses etc.) • Education for ethnic groups in 5 villages (construction of 2 schools by 2010) • Improvement of secondary schools.

Within the selected criteria, some may be more important than others. Therefore, a coefficient weight within the assessment criteria is decided at the workshop. Participants discuss which criteria are comparatively important than others, and provide coefficient score to every criterion based on its importance. The least important criterion (or criteria) is scored 1.0, and further weight is provided based on its importance by 0.1. Obviously, the most important criterion (or criteria) is scored with the highest weight. Following is an example of coefficient scores for assessment criteria.

Chart 16: Coefficient Scores and Assessment Criteria

Assessment Criteria	Score
Construction of primary schools (target of completing 20 more schools by 2010).	2.0
Provision of textbooks for all children (target of 100% distribution by 2010)	1.5
Improvement of primary school entrance for ethnic children (target entrance ratio of 75% by 2010).	1.7
Improvement of curriculum in secondary schools (curriculum and textbooks renewed to match new standards, to be completed by 2008)	1.5
Improvement of teacher quality (teaching capability for all teachers reach national standard level by 2010)	1.0

When conducting CompAss, selection and weight of the assessment criteria becomes the crucial point that may decide the assessment results. Following are examples of assessment criteria and coefficient rate described in the CompAss Sheet

Figure 8: Assessment Criteria and Coefficient Rates in the CompAss Chart

SPAS Results	Coefficient Rate	2.0	1.5	1.7	1.5	1.0	Total Score	Comparative Rating	Comprehensive Rating
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children	Primary school entrance for children	Improvement in curriculum in secondary schools	Improvement of teacher quality			
Project Name									
I									
II									

(9) Presentation of Projects in Comparison

After selecting and weighing the assessment criteria, the PO provides brief presentations of each project that are to be compared. The presentation for one project should not be more than 10 minutes. At least the following information should be presented.

Chart 17: Information of the Project Provided by PO

<ul style="list-style-type: none"> • Project Name • Status of Project (new, ongoing or revival), and expected completion year. • Project Purpose, Overall Goal 	<ul style="list-style-type: none"> • Location of Project • Beneficiaries PIP budget request amount for the following year. • SPAS rating and results.
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During the presentation, the facilitator describes the project names and SPAS rating results on the CompAss Chart. In this process, ODA/PIP projects among the listed projects should be given the rate “A” automatically (refer to the previous section (1)). Following is a described example;

Chart 18: Project Name and SPAS Rating on Comparative Assessment Sheet

SPAS Results	Coefficient Rate	2.0	1.5	1.7	1.5	1.0	Total Score	Comparative Rating	Comprehensive Rating
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children	Primary school entrance for ethnic children	Improvement in curriculum in secondary schools	Improvement of teacher quality			
B	Project Name < New Technical Promotion > Project for improving teaching skills, curriculum and textbooks for secondary schools.								
C	< New Construction > Construction of Ethnic Primary School in xx Village.								
A	< Ongoing Technical Promotion > Project for improving technical skills, curriculum and textbooks for primary schools.								
C	< Revival Construction > Construction of Ethnic Primary School in yyy Village.								
B	< Ongoing Construction > Expansion of Classroom Building and Teacher Office in District Capital school No.3								

Project Name

SPAS Rating

ODA/PIP project is automatically given rate "A"

(10) Comparing and Scoring

After the presentation, projects are compared using each assessment criterion. The basic question is to “find out the projects that contribute most/least to the criterion”.

Each project is scored in a range of 1 to 3, with “3” being the project that contributes most to the criterion. The number of projects scored “3” “2” and “1” is fixed depending on the number of projects that are compared. The following chart indicates the number of projects scored respectively;

Chart 19: Scoring Standard Based on Total Number of Projects

Total number of projects	Projects scored 3 points	Projects scored 2 points	Projects scored 1 point
3	1	1	1
4	1	2	1
5	1	3	1
6	2	2	2
7	2	3	2
8	2	4	2
9	3	3	3
10	3	4	3
10+	30%	40%	30%

Figure 9: Scoring in Comparative Assessment (1)

SPAS Results	Coefficient Rate	2.0	1.5
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children
B	Project Name < New Technical Promotion > Project for improving teaching skills, curriculum and textbooks for secondary schools.	1	2
C	< New Construction > Construction of Ethnic Primary School in xx Village.	2	2
A	< Ongoing Technical Promotion > Project for improving technical skills, curriculum and textbooks for primary schools.	2	3
C	< Revival Construction > Construction of Ethnic Primary School in yy Village.	2	2
B	< Ongoing Construction > Expansion of Classroom Building and Teacher Office in District Capital School No.3	3	1

The balance of score basically follows a 30% - 40% - 30% ratio, although it does not apply to total number of projects that are not divisible. The 30-40-30 ratio is used so that both “important” and “unimportant” projects can be more highlighted, since it is relatively difficult to make judgements when all 3 scores have the same or similar ratio.

All Assessment Criteria are covered with the same method.

Figure 10: Scoring in Comparative Assessment (2)

SPAS Results	Coefficient Rate	2.0	1.5	1.7	1.5	1.0
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children	Primary school entrance for ethnic children	Improvement in curriculum in secondary schools	Improvement of teacher quality
	Project Name					
B	< New Technical Promotion > Project for improving teaching skills, curriculum and textbooks for secondary schools.	1	2	2	3	2
C	< New Construction > Construction of Ethnic Primary School in xx Village.	2	2	3	2	2
A	< Ongoing Technical Promotion > Project for improving technical skills, curriculum and textbooks for primary schools	2	3	2	2	3
C	< Revival Construction > Construction of Ethnic Primary School in yy Village.	2	2	2	2	1
B	< Ongoing Construction > Expansion of Classroom Building and Teacher Office in District Capital School No.3	3	1	1	1	2

Topics and opinions that relate directly to the reasoning of assessment results normally come out through the course of discussion. Therefore, the facilitator or staff supporting the facilitator must take notes.

(11) Coefficient Scores and Total

After scoring is completed, coefficient rates for each assessment criteria are multiplied to the score in each cell. This can be done without discussion. Final scores after multiplied are added up as the total score.

Figure 11: Scores with Coefficient Rate and Total

SPAS Results	Coefficient Rate	2.0	1.5	1.7	1.5	1.0	Total Score
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children	Primary school entrance for ethnic children	Improvement in curriculum in secondary schools	Improvement of teacher quality	
	Project Name						
B	< New Technical Promotion > Project for improving teaching skills, curriculum and textbooks for secondary schools.	1 2.0	2 3.0	2 3.4	3 4.5	2 2.0	14.9
C	< New Construction > Construction of Ethnic Primary School in xx Village.	2 4.0	2 3.0	3 5.1	2 3.0	2 2.0	17.1
A	< Ongoing Technical Promotion > Project for improving technical skills, curriculum and textbooks for primary schools	2 4.0	3 4.5	2 3.4	2 3.0	3 3.0	17.9
C	< Revival Construction > Construction of Ethnic Primary School in yy Village.	2 4.0	2 3.0	2 3.4	2 3.0	1 1.0	14.4
B	< Ongoing Construction > Expansion of Classroom Building and Teacher Office in District Capital School No.3	3 6.0	1 1.5	1 1.7	1 1.5	2 2.0	12.7

(12) Rating

Rating is done with a range from A to C. Overall, “A” can be considered “important” while “C” unimportant. However, CompAss rating results and its reasons depend on the contents of discussion; therefore the rating definition varies depending on the workshop. The following indicates the probable reasons;

Chart 20: Rating results and their Probable Reasons

Rate	Probable Reasons
A	<ul style="list-style-type: none"> The projects deal with the most important areas in the sector or region. Completion of the projects create positive effect to many important areas in the sector or region. The project(s) have comprehensive results.
B	<ul style="list-style-type: none"> The projects deal with important areas in the sector or region, but are focused on a very limited area in the sector or region. Completion of the projects create positive effect to certain areas in the sector or region, but the effectiveness for each area is comparatively lower than that of A rated projects. Completion of the projects create positive effect to many areas in the sector or region, but does not effect the most important areas.
C	<ul style="list-style-type: none"> The projects deal with the areas that are considered relatively unimportant for the sector or region. The projects results focus on a very limited area in the sector or region.

The rating method is quite similar with the scoring method, whereas the number of projects scored “A” “B” and “C” is fixed depending on the number of projects that are compared. The following chart indicates the number of projects scored respectively;

Chart 21: Rating Standard Based on Total Number of Projects

Total number of projects	Projects rated A	Projects rated B	Projects rated C
3	1	1	1
4	1	2	1
5	1	3	1
6	2	2	2
7	2	3	2
8	2	4	2
9	3	3	3
10	3	4	3
10+	30%	40%	30%

The balance of score basically follows a 30% - 40% - 30% ratio, although it does not apply to total number of projects that are not divisible. The reasons that 30-40-30 ratio is used is similar to that of scoring. Both “important (A)” and “unimportant(C)” projects can be more highlighted, since it is relatively difficult to make judgements when all 3 rates have the same or similar ratio. The following indicates the rating results in the CompAss Chart ;

Figure 12: Rating Results in the Comparative Assessment Chart

SPAS Results	Coefficient Rate	2.0	1.5	1.7	1.5	1.0	Total Score	Comparative Rating
	Assessment Criteria	Construction of Primary schools	Provision of textbooks for all children	Primary school entrance for ethnic children	Improvement in curriculum in secondary schools	Improvement of teacher quality		
	Project Name							
B	< New Technical Promotion > Project for improving teaching skills, curriculum and textbooks for secondary schools.	1 2.0	2 3.0	2 3.4	3 4.5	2 2.0	14.9	B
C	< New Construction > Construction of Ethnic Primary School in xx Village.	2 4.0	2 3.0	3 5.1	2 3.0	2 2.0	17.1	B
A	< Ongoing Technical Promotion > Project for improving technical skills, curriculum and textbooks for primary schools	2 4.0	3 4.5	2 3.4	2 3.0	3 3.0	17.9	A
C	< Revival Construction > Construction of Ethnic Primary School in yy Village.	2 4.0	2 3.0	2 3.4	2 3.0	1 1.0	14.4	B
B	< Ongoing Construction > Expansion of Classroom Building and Teacher Office in District Capital School No.3	3 6.0	1 1.5	1 1.7	1 1.5	2 2.0	12.7	C

In cases where the score adds up to the same total amount, discussion is made specifically with the projects that have the same total. The chart is inspected, focusing on these projects. The conclusion of the discussion is respected for the final rating.

5. Comprehensive Results and Recommendations

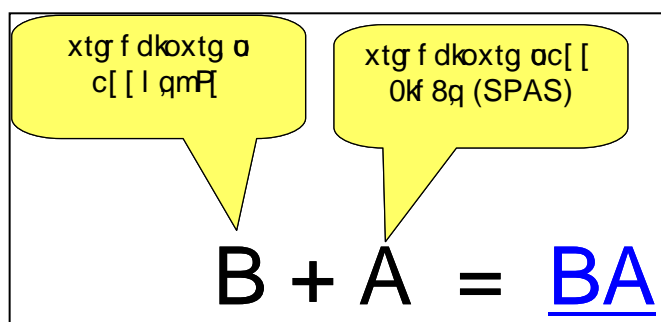
This chapter explains the method of combining the Absolute and Comparative assessment results (*Comprehensive Rating Results*), and provide specific recommendations to the Decision Makers.

5.1 Comprehensive Rating Results

After both Absolute Assessment and CompAss are conducted, each project has assessment results from different aspects. Comprehensive Rating Results provide the status of each project by combining these 2 assessment results. It helps not only the staff involved in PIP management, but also the Decision Makers who makes concise decisions based on the recommendations by its staff.

The method is simple; just combine the 2 assessment results in order of CompAss and Absolute Assessment. If the CompAss Results is “B” and Absolute Assessment Results is “A”, the project has a Comprehensive Rate of “BA”.

Figure 13: Comparative Assessment Results



As mentioned earlier, CompAss explains the importance of a project, while Absolute Assessment explains its potential performance. By having the two rates combined, it not only explains the status of the project, but also provides recommendation of its further improvement.

As explained in the previous sections, although the ODA/PIP projects have no priority than the domestic PIP in the CompAss, they are automatically given an absolute assessment result “A” in the Pre-Selection before the workshop. Therefore, if an ODA/PIP project is given CompAss Results “B” through the workshop and given Absolute Assessment Results “A” automatically in the Pre-Selection, the project has a Comprehensive Rate of “BA” consequently.

(1) Recommendation to Decision Makers

With the Comprehensive Rating and results of specific analyses, MPI/DPI as well as the PO would be able to provide information to Decision Maker. There are two ways of providing the assessment results and recommendation to the Decision Maker; from the viewpoint of the CompAss Results, or as a sector/region; and from the viewpoint of each project.

(2) Recommendations within the sector/region (CompAss Viewpoint)

This way of recommendation gives an idea of how the PIP should be managed in a comprehensive manner. Normally PIP budget expenditure has certain policy or direction by the Decision Maker, therefore the recommendations should be based on this policy direction. For example, if the Decision Maker announces that the PIP budget should be spent for projects with the priority of importance than its performance, the recommendations of projects have more emphasis on the CompAss. If the Decision Maker has a policy or direction that the performance of PIP projects itself is prioritised, the recommendation of projects may change.

If the budget ceiling for the sector/region in subject is already decided, allocation by project may also be considered. However, this is upon necessity, since it is a very sensitive issue.

The following reporting format is recommendable when reporting to the Decision Maker;

Chart 22: Recommendation by Sector / Region Format

< Basic Direction of Recommendation >				
Recommen- dation Order	Project Name	Compre- hensive Rate	Budget Allocation (Proposal)	Reasons and Further Improvements Required
1.				
2.				
3.				
4.				
5.				

The following is an example of a completed recommendation form;

Chart 23: Recommendation Form for Education Sector in xxx Province.

< Basic Direction of Recommendation >				
<ul style="list-style-type: none"> The Governor instructed the important projects are given priority, with a condition that they would be completed effectively and efficiently. DPI interpreted the above instruction that CompAss results would be prioritized, but for projects that have Absolute Assessment results over B rating. Absolute Assessment results under C rating would be less prioritized nonetheless the importance. Vice Minister from the Ministry of Education has commented on the promotion of stabilizing the quality of secondary schools in general, when he came to the province. The Governor stresses the situation within ethnic groups, and commented that PIP should be allocated more to xx ethnic group in for the next coming years. DPI has already interpreted that before the CompAss, and confirmed that the results have reflected the comments. 				
Order	Project Name	Rate	Budget Allocation (Proposal)	Reasons and Further Improvements Required
1.	<Ongoing Technical Promotion> Project for improving technical skills, curriculum and textbooks for primary schools	AA	100Mil.K (request: 100Mil.K)	Both importance and performance of the project is worth providing full amount of budget request.
2.	< New Technical Promotion > Project for improving technical skills, curriculum and textbooks for secondary schools.	BB	100Mil.K (request; 100Mil.K)	Bearing the importance of the project, as seen through the Vice Minister's comments, although the project needs more thoughts on sustainability, the budget request is fully approved.
3.	< Ongoing Construction > Expansion of classroom building and teacher office in xxx District Capital School No.3	CB	300Mil.K (request; 500Mil.K)	Although the priority of importance is relatively low, bearing to the high needs and fair performance of the project, it is recommended to continue with construction, although not the full

				amount requested.
4.	< New Construction > Construction of Ethnic Primary School in xx ethnic village	BC	100Mil.K (request: 500Mil.K)	The plan of the project is immature; therefore although the importance is relatively high, due to the direction of the Governor, priority is low. Xx ethnic group is considered as priority of support, so with the condition of improving the project plan, the budget is allocated with a small amount.
5	< Revival Construction > Construction of Ethnic Primary School in yy ethnic village	BC	0Kip (request: 300Mil.K)	Due to the immature revival plan, although the importance is relatively high, the priority is low. Limitation of budget does not allow the allocation to this project. Need to improve the revival plan.

It is known that the final decision of the project priorities or the budget allocation does not be matched with the above suggestion made by the analysis made by the staff level. However, it can help the Decision Maker to understand the actual situation of PIP.

(3) Comprehensive recommendations for each project

In addition to analysis of the sector/region, it is also recommendable to compile analysis by project. This format can be turned out as a cover sheet when assessment results of each project are requested. It can also be shared between DPI/MPI and the PO, for further follow-up.

The following reporting format is recommendable;

Chart 24: Recommendation by Project

Name of Project :		Project Code:	
Status of Project (new/ongoing) :			
1. Comprehensive Rate :			
< Overview of the Comprehensive Results >			
2. CompAss Results :			
< Assessment Analysis >		< Improvements necessary >	
3. Absolute Assessment Results :			
< Assessment Analysis >		< Improvements necessary or required >	

The following is an example of a completed recommendation form;

Chart 25: Recommendation Form for Ethnic Primacy School in XX Village

Name of Project : Construction of an Ethnic Primary School in XX Village Project Code: xxxxxxxxxxxxxxxx	
Status of Project (new/ongoing) : New Project (after F/S, before construction)	
1. Comprehensive Rate : BC	
<p>< Overview of the Comprehensive Results ></p> <ul style="list-style-type: none"> Although the importance is relatively high (rated B, scored 2nd out of 5), due to the direction of the Governor instructing efficient and effective projects are needed, priority is low because the project plan is immature. Education of ethnic children still stand as an important development policy in this province, and xx ethnic group is considered as priority of support, so with the condition of improving the project plan, the budget is allocated with a small amount. (100Mil.Kip approved out of 500Mi.Kip request) 	
2. CompAss Results : B	
<p>< Assessment Analysis ></p> <p>The project is considered important, due to emphasis to education to ethnic schools. Since the construction involves a classroom for secondary children, it improves the situation for secondary schoolchildren in the area.</p>	<p>< Improvements necessary ></p> <p>In the context of importance, the project has all basic components that is required.</p>
3. Absolute Assessment Results : C	
<p>< Assessment Analysis ></p> <p>In prior to construction plan, social analysis on the beneficiary ethnic group has been made, but the context of the beneficiaries has not reflected to the school design. School location does not match the beneficiaries' needs.</p> <p>The cost and schedule of school construction remains the same as it is made in the city area. Bearing to the fact that the school is made in a mountainous area where it may be isolated in heavy rain, reconsideration in schedule and cost is necessary.</p>	<p>< Improvements necessary or required ></p> <p>Reflection of social analysis results is needed. Consideration of changing the location, or further discussions with the group is needed to satisfy their requirements.</p> <p>Scheduling of the construction, with the consideration of the rainy season operation is needed. In such case, consideration of costs with no (or minimum) increase must be made.</p>