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DRG LEARNING, EVALUATION, AND RESEARCH (DRG-LER) ACTIVITY

NORC FY 2014, SECOND QUARTER REPORT JANUARY 1 – MARCH 31, 2014

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ACRONYMS

AEDE	Agency for Economic Development and Empowerment
CoP	Chief of Party
CSP	Citizen Security Project
DCOF	Displaced Children and Orphans Fund
DG	Democracy and Governance
DRG	Democracy, Human Rights, and Governance
DRG-LER	DRG Learning, Evaluation, and Research Activity
GEMS	Governance and Economic Management Support Project
GOG	Government of Guatemala
GOI	Government of Indonesia
GOL	Government of Liberia
GOP	Government of Paraguay
HICD	Human and Institutional Capacity Development
IBTCI	International Business & Technical Consultants, Inc.
ICNL	International Center for Not-for-Profit Law
IRB	Institutional Review Board
KII	Key Informant Interviews
IPA	Innovations for Poverty Action
LEEP	Legal Enabling Environment Project
MACS	Ministries, Agencies, and Commissions
MSI	Management Systems International, Inc.
NGO	Non-Governmental Organization
NORC	National Opinion Research Center
PMP	Performance Monitoring Plan
TRG	Training Resources Group
USAID/DCHA	U.S. Agency for International Development Democracy, Conflict, and Humanitarian Assistance

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DRG-LER QUARTERLY REPORT (FY2014, Q2)

INTRODUCTION

USAID's Democracy, Human Rights, and Governance (DRG) Center has contracted with NORC at the University of Chicago to implement the DRG Learning, Evaluation, and Research (DRG-LER) Activity. Assisting NORC on the DRG-LER Activity are subcontracting partners: International Business & Technical Consultants, Inc. (IBTCI); Innovations for Poverty Action (IPA); Management Systems International, Inc. (MSI); Training Resources Group (TRG); and University of Pittsburg. DRG-LER provides services to advance learning activities in the DRG foreign assistance sector and provides critical data on the impact of DRG activities in the field to assist with decision making. The DRG-LER contract supports the design and implementation of rigorous evaluations, analyses, and other research within USAID's contracting and program rules and procedures. It also allows for more substantial involvement and collaboration between the DRG Center staff and academics thus resulting in better learning opportunities and internal USAID staff capacity building.

The objectives of the DRG-LER contract are to: (1) provide U.S. Government and other stakeholders with timely, solid evidence on impact and costs, as needed, for decision making about DRG foreign assistance intervention expansion and scale up or elimination/scale back; and (2) contribute to the knowledge base of what works and does not work in the DRG sector. In addition to impact evaluations, the contract includes performance evaluations, survey research, and qualitative case study research; knowledge dissemination and training; and ancillary studies. Implementation will occur in selected countries, with no specific regional focus, including in complex and multi-country environments as dictated by the evaluation agenda defined by USAID/DCHA/DRG.

NORC's second quarterly report for the USAID DRG-LER Activity describes project achievements between January 1 and March 31, 2014. During this period, NORC was involved in eight taskings which we describe below in their separate sections. Each tasking section is divided into three subsections: Update on all Evaluations, Research and Study Tasks; Major Accomplishments and Challenges of Past Quarter; and Issues that Need to be Resolved.

TASKING N001: Basic Management Functions

Begin Date: 10/01/2013

End Date: 09/30/2014

Ceiling Amount: N/A

Team Members: Jeffrey Telgarsky (Chief of Party), Renée Hendley (Project Manager)

The purpose of this tasking is to cover basic management-related functions such as attending general meetings with and reporting to USAID, preparing weekly reports, quarterly reports, annual reports, accruals, and annual work plans; developing proposals for tasking activities; recruiting that falls outside of an approved activity; invoicing and financial management related to the overall DRG-LER Task Order; submitting small business subcontracting reports, and other work related to the smooth operation of the task order.

Update on Evaluations, Research, and Study Tasks

This quarter, NORC conducted the following activities under Tasking N001:

- Established a protocol for regular monthly meetings with USAID COR Morgan Holmes, to discuss the progress made and obstacles confronted under the DRG-LER project. Chief of Party (CoP) Jeffrey Telgarsky and Project Manager Renée Hendley met with USAID COR Morgan Holmes on 02/20/2014 and 03/13/2014 as part of this new protocol.
- Revised its billing per USAID's request so that the costs to prepare Concept Notes for Performance Evaluations are consolidated with the costs to implement the evaluations. This change in accounting facilitates accounting for the full cost of the performance evaluations to be paid by each USAID mission.
- Received clarification from USAID on data rights for this project. USAID clarified that there is a 6 month embargo on data produced under this project, and that all data is the property of USAID. Researchers may use the data to write articles and for publishing those articles 6 months prior to the data becoming available to the public.

Major Accomplishments and Challenges of Past Quarter

Management systems and protocols are being developed and modified as both NORC and USAID gain experience working under the contract.

Major Issues that Need to Be Resolved

NORC is still finalizing subcontract negotiations with the University of Pittsburg, which has been complicated because the University's policy on data use and ownership conflicts with DRG-LER's data ownership rights.

TASKING N002: USAID/Paraguay Democracy and Governance Project -- Baseline Study, Mid-Term, and Final Performance Evaluation

Begin Date: 2014

End Date: 2018

Ceiling Amount: \$405,901

Team Members: Sarah Hughes (NORC Evaluation Director), Gerardo Sanchis-Munoz (NORC Principal Investigator), Katie Mark (Senior Performance Evaluation Specialist), Clifford Zinnes (NORC Research Director), Carlos Echeverria (Research Analyst)

This tasking involves designing and implementing a baseline study and mid-term and final performance evaluation of USAID/Paraguay's Democracy and Governance (DG) Project. The overarching goal of USAID/Paraguay's DG project is to strengthen the internal management and governance systems of select public institutions within the Government of Paraguay (GOP) by developing the capacity of federal employees and installing accountability necessary for public institutions to provide responsive democracy focusing on key functions such as civil service, public financial management, and internal controls.

NORC will assess to what extent, and why the DG project is effective (or not) in achieving the expected objectives, outcomes, and impacts. This will include a gender analysis to assess

heterogeneity effects among men and women, and an examination of barriers or constraints in each gender's ability to access the project. The mid-term evaluation will include recommendations of adjustments required to improve the project's effectiveness. The final report will summarize lessons learned and provide recommendations and guidance to inform future efforts.

Update on Evaluations, Research, and Study Tasks

This quarter, NORC revised its Concept Note on 02/20/2014 to include feedback from USAID/Paraguay. USAID/Paraguay is still reviewing the implementer's Work Plan and Performance Monitoring Plan (PMP), which includes evaluation indicators NORC needs to finalize the design of the performance evaluation. NORC organized a conference call with the Mission on 03/11/2014 to discuss additional inputs on the evaluation design. Of particular interest is getting contact information for Ministry Staff to be able to conduct a Web survey, and contact information for principal liaisons within each Ministry for Key Informant Interviews (KII). NORC submitted a second revised Concept Note 04/23/2014 for final approval from DRG-LER and the USAID/Paraguay Mission. Travel for the first trip is expected to take place between 05/19-30/2014.

Major Accomplishments and Challenges of Past Quarter

The main challenge of this evaluation was the lack of clarity of the scope of the evaluation. In particular the project to be evaluated had a very broad scope, no evaluation questions were provided, and it was unclear what the focus of the evaluation would be. NORC prepared an initial Concept Note outlining some possible approaches, and that became the basis for an initial conversation with the mission. Provision of the project's initial work plan and a number of other project documents, and in particular further guidance from the mission on activities and outcomes of particular interest have helped focus the approach.

Major Issues that Need to Be Resolved

Approval of final concept note is pending.

TASKING N003: Displaced Children and Orphans Fund (DCOF), Moldova and Burundi

Begin Date: 2014

End Date: 2018

Ceiling Amount: \$500,000

Team Members: Ritu Nayyar-Stone (NORC Evaluation Expert), Mawadda Damon (NORC Evaluation Expert), Kelley Bunkers (NORC Subject Area Expert), Sian Long (NORC Subject Area Expert)

This tasking involves designing and implementing a performance evaluation of USAID's Displaced Children and Orphans Fund (DCOF) projects in Moldova (Children in Moldova are Cared for in Safe and Secure Families), and Burundi (Family Care First: A Project to Ensure Children in Burundi are Placed in Protective and Permanent Family Care). DCOF's overarching goal for these projects is to measurably improve the safety, well-being, and development of highly vulnerable children, particularly those who are living without adequate family care.

DCOF gives priority to projects that promise impact beyond direct services, which strengthen local capacity, and offer models and approaches for expansion, adaptation, and/or replication. While DCOF support in some cases is directed toward parents or other adults, the primary beneficiaries are children younger than 18 years of age.

Update on Evaluations, Research, and Study Tasks

On 01/02/2014, NORC met with the DCOF team for an introductory discussion about the upcoming evaluations in Moldova and Burundi. NORC recruited two highly specialized experts, Kelley Bunkers and Sian Long, who will provide subject area expertise in Moldova and Burundi respectively. NORC's evaluation experts, Ritu Nayyar-Stone and Mawadda Damon will work closely with each of these experts to provide the evaluation expertise required to conduct the performance evaluation. NORC has collected background and pricing information from survey firms in Moldova and Burundi which will be used to select a firm once data collection requirements are identified and approved by DCOF and DRG-LER.

NORC also has researched IRB requirements (U.S., Moldova, and Burundi) as it relates to interviewing children. US Department of Health and Human Services published their 2014 Edition of International Compilation of Human Research Standards, which can be downloaded from this URL: <http://www.hhs.gov/ohrp/international/index.html>. Burundi does not have any laws or regulations pertaining to the protection of human subjects. There are human subject protection regulations in Moldova, but they pertain solely to clinical and biomedical research (see pp. 203-207 at <http://ms.gov.md/sites/default/files/ethical.pdf>). Despite the absence of IRB requirements in Moldova and Burundi, NORC will follow all IRB protocols (NORC has an established IRB and follows ethical standards for all its projects).

NORC submitted a Concept Note on 02/05/2014, and received feedback from DCOF asking us to fully expand the scope of the evaluation and describe a model-based approach to evaluate the effects of the DCOF program on children or those in foster care. NORC submitted a revised Concept Note on 03/26/2014 that addressed questions and comments posed by DCOF, and has had preliminary discussions with the implementing grantees, Partnership for Every Child (P4EC) in Moldova and International Rescue Committee (IRC) in Burundi on 04/24/2014 and 04/25/2014, respectively.

Major Accomplishments and Challenges of Past Quarter

While studies have been conducted on the results of placement of institutionalized children in the past, they have been based on very small sample sizes that allow only for the comparison of average results between different types of placements. NORC has suggested model-based approaches for this evaluation using larger samples and thus greatly improving the existing evidence in this field. Exploring the availability of quality data in Moldova and Burundi, however, has taken longer than expected. Recent meetings with P4EC and IRC has helped clarify some questions.

Major Issues that Need to Be Resolved

NORC will revise the evaluation design in the Concept Note and make some budget and data collection assumptions taking into consideration the data challenges and context in each country.

TASKING N004: Scoping Trip and Design of Impact Evaluation of USAID/Guatemala's Citizen Security Project

Begin Date: 02/2014

End Date: 04/30/2014

Ceiling Amount: \$54,995

Team Members: Clifford Zinnes (NORC Research Director), Tobias Pfutze (NORC Impact Evaluation Specialist), Susan Minushkin (MSI Subject Matter Expert)

This tasking involves designing an impact evaluation of USAID/Guatemala's upcoming Citizen Security Project (CSP). The CSP intervention will be USAID/Guatemala's flagship violence prevention program aimed at supporting efforts by the Government of Guatemala (GOG), civil society, and community actors to address causes and consequences of violence through holistic primary and secondary prevention approaches. Primary prevention approaches as it relates to the CSP project involve implementing broad-based programs that seek to prevent violence by reaching a large population with potential risk factors; these approaches will serve as the foundation of the project and will focus on demand-driven interventions which will be reinforced by municipal- and national-level support. Secondary prevention approaches will involve pilot projects designed to complement the primary prevention approaches; these approaches will focus on specific individuals who are exposed to multiple risk factors for becoming involved in violent behaviour or joining a gang.

Update on Evaluations, Research, and Study Tasks

This quarter, NORC submitted a Concept Note on 01/17/2014 for the scoping trip to design the Impact Evaluation of USAID's Citizen Security Project. We received DRG-LER approval to proceed with the scoping trip and design work on 01/27/2014. Team members participated in pre-scoping trip conference call with the USAID Guatemala Mission on 02/21/2014, then travelled to Guatemala 03/24-29/2014 to conduct the scoping trip. While in Guatemala, team members met with USAID, the implementers of the first round USAID projects (Research Triangle Institute (RTI) and CECI), the Asociación de Investigación y Estudios Sociales (ASIES) to find out availability of data of interest; Ministry of the Interior's Community Violence Prevention Unit, CIDES-CONPREDEDE violence prevention projects, Guatemala's Statistical Office, several NGOs, and several data collection organizations. NORC is currently drafting the design report and budget which are due at the end of 04/2014.

Major Accomplishments and Challenges of Past Quarter

Successful scoping trip was completed, and impact evaluation design under way.

Major Issues that Need to Be Resolved

Nothing to report at this time.

TASKING N005: Liberia Governance and Economic Management Support (GEMS) Performance Evaluation

Begin Date: 02/2014

End Date: 07/31/2014

Ceiling Amount: \$250,033

Team Members: Ritu Nayyar-Stone (NORC Performance Evaluation Expert), Jonathan Smith (Team Leader), John Dalton (HICD Expert), Willie Belleh (Liberian Public Sector Context Specialist), Pewu Subah (Economic Governance Specialist), Agency for Economic Development and Empowerment (AEDE) (Local Data Collection Firm)

This tasking involves designing and implementing the mid-term performance evaluation of USAID's GEMS project in Liberia. The objective of this five-year technical assistance program is to improve the performance and capacity of targeted Government of Liberia (GOL) Ministries, Agencies, and Commissions (MACs) in economic governance. It also focuses on improving human and institutional capacity in an enabling environment using USAID's Human and Institutional Capacity Development (HICD) framework. Program themes incorporated into GEMS include: (i) managing national resources effectively; (ii) building national wealth; and (iii) promoting equity and youth; with cross-cutting elements in: (iv) training; (v) information and communication technology; and (vi) gender.

Update on Evaluations, Research, and Study Tasks

On 03/13/2014, NORC submitted a Concept Note for the Mid-Term evaluation of USAID/Liberia's GEMS Project. We participated in a conference call with the USAID/Liberia Mission on 03/18/2014 to discuss the Mission's feedback on the Concept Note and timing of assignments. USAID/Liberia provided refinements to the research questions on 03/25/2014 which NORC used to revise and submit the final Concept Note on 03/25/2014. USAID DRG-LER approved the Concept Note 04/07/2014. NORC finalized tasking subcontracts with partner organizations IBTCI and MSI, and local data collection subcontractor AEDE 04/15/2014.

NORC convened a team launch meeting 04/24/2014, and plans to travel to Liberia for three weeks starting late 05/2014 to conduct the evaluation.

Major Accomplishments and Challenges of Past Quarter

The USAID mission in Liberia has been very responsive to questions and request for contact information for the GEMS project. This has helped with the planning and logistics of the upcoming trip in the next quarter.

Major Issues that Need to Be Resolved

Nothing to report at this time.

TASKING N006: Scoping and Design of an Impact Evaluation of USAID/Somalia's Transition Initiatives for Stabilization follow-on program

Begin Date: 02/2014

End Date: TBD

Ceiling Amount: \$55,000

Team Members: TBD

This tasking involves exploring approaches to design an impact evaluation (experimental or quasi-experimental) of USAID/Somalia's Transition Initiatives for Stabilization follow-on program which is currently in design.

Update on Evaluations, Research, and Study Tasks

NORC explored the possibilities of developing an impact evaluation that might employ one of the typical designs, such as randomization, matching, or regression discontinuity. However, because of a variety of factors related both to the context in which the project will operate and the selection criteria and procedures, NORC concluded that these typical impact evaluation approaches are not appropriate. On 02/28/2014, NORC presented alternative approaches to measure the effectiveness of the Mission's transition initiatives for stabilization. This approach includes measuring the differences between like interventions, e.g. light versus heavy intervention.

Major Accomplishments and Challenges of Past Quarter

Awaiting USAID's decision on whether or not to proceed.

TASKING N007: Legal Enabling Environment Project (LEEP) II

Begin Date: 2014

End Date: 2018

Ceiling Amount: \$300,000

Team Members: TBD

This tasking involves designing and implementing the mid-term and final performance evaluation of USAID's Legal Enabling and Environment Project (LEEP) II, being implemented by the International Center for Not-for-Profit Law (ICNL) worldwide. The objective of this five-year technical assistance program is to enhance the legal enabling environment and decrease the threats and restrictions to civil society organizations across five targeted regions: Africa, Asia, Europe & Eurasia, Latin America & the Caribbean, and the Middle East. LEEP II builds on nearly 20 years of USAID work in the area of NGO legal framework, starting with the "Democracy Network Project" in Central and Eastern Europe, the "Global Technical Assistance Program" and the most recent "NGO Legal Enabling Environment (LEEP).

NORC will assess the effectiveness of the LEEP II Project in achieving its results. The tasking requests a mid-term and a final evaluation that will assess the overall efficacy, relevance, and impact of the program.

Update on Evaluations, Research, and Study Tasks

NORC received from USAID the intake form and tasking request to conduct the evaluation of the LEEP II project on 03/15/2014. We reviewed the background materials USAID provided earlier, and sent questions to USAID with information we need to finalize the design of the performance evaluation. We are in the process of completing the Concept Note.

Major Accomplishments and Challenges of Past Quarter

NORC has been trying to arrange a meeting with the LEEP II team, but scheduling conflicts has prevented this thus far. NORC will prepare a Concept Note based on information available and submit this shortly.

Major Issues that Need to Be Resolved

Final design needs to be discussed with USAID.

TASKING N008: Scoping and Design of an Impact Evaluation of USAID/Indonesia DRG Programs Currently Under Design

Begin Date: 02/27/2014

End Date: 04/30/2014

Ceiling Amount: \$38,838

Team Members: Matthew Winters, Department of Political Science at the University of Illinois at Urbana-Champaign

This tasking involves designing and budgeting for an impact evaluation of USAID/Indonesia's Democratic Governance (DG) Program currently in design. The DG Program will provide support to the Government of Indonesia (GOI), civil society, and community actors to help build and sustain a community of accountability at the national and subnational levels of governance in Indonesia. The approach is a combined supply and demand approach in which the capacity, independence, and transparency of relevant institutions are increased at the same time that external pressures from civil society, media, and the private sector are amplified. The program will enhance rule of law and the administration of justice, as well as promote progress on critical accountability processes.

Update on Evaluations, Research, and Study Tasks

NORC received a Tasking Request from USAID on 2/28/2014. We submitted a Concept Note and budget to USAID on 03/06/2014. USAID approved the Concept Note on 03/10/2014. Matthew Winters conducted the scoping trip to Indonesia between 03/17-28/2014, and is in the process of drafting the impact evaluation design of USAID/Indonesia's DRG Programs which is due 04/30/2014.

Major Accomplishments and Challenges of Past Quarter

Successful scoping trip was completed, and impact evaluation design under way.

Major Issues that Need to Be Resolved

Nothing to report at this time.

FINANCIAL REPORTING

	LOP Budget	Actual Costs to Date*	Balance
Impact Evaluation Services	\$36,812,418	\$69,888	\$36,742,530
Cost Analyses	770,893		770,893
Performance Evaluation Services	3,409,261	100,195	3,309,066
Surveys	3,011,515		3,011,515
Ancillary Studies	2,396,392		2,396,392
Knowledge Dissemination/Events	3,206,949		3,206,949
Direct Labor	\$31,489,005	158,517	\$31,330,488
Materials/ODCs	18,118,423	11,566	18,106,857
Total Ceiling Amount	\$49,607,428	\$170,083	\$49,437,345

* Reported figures include actual expenditures through March 2014.