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NONCAPITAL PROJECT PAPER (PROP)

40p

Country: Worldwide

Project No. 931-11-580-855

Submission Date: 28 April 1971

Revision No. 1

Project Title: Application of Methodology for Eval
Family Planning Programs

U.S. Obligation Span: FY 1969 through FY 1971

Physical Implementation Span: FY 1970 through FY 1974

Gross life-of-project financial requirements: \$1,760,170

I. SUMMARY DESCRIPTION

This project comprises a comprehensive program directed to the incorporation of effective evaluation activities into family planning programs around the world. It represents the continuation, major expansion, and increase in scope of work already supported by AID, under contract AID/csd-2479, at the Division for Program Development and Evaluation of the International Institute for the Study of Human Reproduction of Columbia University. Its ultimate goal is to create a major resource for the development of evaluation methodology and for delivery of direct and indirect evaluation services to family planning programs.

The need for administrative and epidemiological evaluation as distinct from demographic and social research is widely felt. A few national ~~family~~ family planning programs have established specific responsibility and routine procedures for the careful assessment of the multiple elements of

Original **PROP INSIDE**

PROJECT AUTHORIZATION

1. PROJECT NUMBER 931-11-580-855		3. COUNTRY Worldwide		4. AUTHORIZATION NUMBER 0050 Amend. #1	
2. PROJECT TITLE Application of Methodology for Evaluating Family Planning Programs				5. AUTHORIZATION DATE 40p	
				6. PROP DATED 932-855	

7. LIFE OF PROJECT

a. Number of Years of Funding: 5
 Starting FY 1969; Terminal FY 1974

b. Estimated Duration of Physical Work
 After Last Year of Funding (in Months): 6

FUNDING BY FISCAL YEAR (in U.S. \$ or \$ equivalent)	DOLLARS (Thousands)		P.L. 480 CCC + FREIGHT	LOCAL CURRENCY			
	GRANT	LOAN		Exchange Rate: \$1 =			
				U.S. OWNED		HOST COUNTRY	
			GRANT	LOAN	JOINTLY PROGRAMMED	OTHER	
Prior through Actual FY 1970	270						
Operational FY 1971	865						
Budget FY 1972	625						
B + 1 FY							
B + 2 FY							
B + 3 FY							
All Subsequent FY's							
TOTAL	1,760						

9. DESCRIBE SPECIAL FUNDING CONDITIONS OR RECOMMENDATIONS FOR IMPLEMENTATION, AND LIST KINDS AND QUANTITIES OF ANY P.L. 480 COMMODITIES

10. CONDITIONS OF APPROVAL OF PROJECT

Bureau clearances:

- LA/PCD, G. Coleman (phone) 4/23/71
- NESA/OPP, J. Alden (memo) 4/27/71
- EA/TECH, J. Shafer - cleared informally (subject to technical changes in PROP, which have been made) and recommended official clearance by memo to EA/TECH. Official clearance not yet received.
- AFR/TAG, J. Prince - cleared informally (although relevance to AFR doubted) and recommended official clearance, which has not yet been received.

(Use continuation sheet if necessary)

11. Approved in substance for the life of the project as described in the PROP, subject to the conditions cited in Block 10 above, and the availability of funds. Detailed planning with cooperation of the country and drafting of implementation documents is authorized.

This authorization is contingent upon timely completion of the self-help and other conditions listed in the PROP or attached thereto.

This authorization will be reviewed at such time as the objectives, scope and nature of the project and/or the magnitudes and scheduling of any inputs or outputs deviate so significantly from the project as originally authorized as to warrant submission of a new or revised PROP.

A.I.D. APPROVAL <i>S.H. Butterfield</i> S.H. Butterfield	CLEARANCES	DATE
	TA/POP, H. Gelfand <i>H. Gelfand</i>	4/29/71
SIGNATURE	TA/POP, R. Ravenholt <i>R. Ravenholt</i>	30-4-71
	TA/PM, Kenneth Levick <i>K. Levick</i>	5/22/71
AA/ TA, Assistant Admin.	A/CONT	
TITLE	DATE	

204 b/ their programs, and they are the most successful. Others, beset with difficulties related to organization, staff, and the paucity of reliable statistics, lack quick, simple, and effective means to examine and evaluate their operations, and they have been less successful.

It was to meet the need for assistance in this area that the previous contract was made with Columbia University. The Division of Program Development and Evaluation is field-oriented and action-oriented and, supported in part by AID, its efforts have been concentrated upon:

1. The development of a Thesaurus and Annotated Bibliography to serve as a guide to what has already been learned and accomplished in the evaluation of family planning programs.

2. The development of new frameworks and methodologies for evaluation, their testing in a variety of field situations, and their publication as manuals--to provide a complete set of procedures and options for FP programs evaluation.

3. The establishment and backstopping of Evaluation Units in LDCs--for the dual purpose of improving the management of the FP programs in assisted countries and providing field sites for testing and improving the methodologies developed under (2).

The present AID contract now funds 2.4 professional and 2 secretarial positions. With this level of investment, work is under way on a great variety of evaluation frameworks and specific instruments, four Manuals have been published and disseminated, and two (soon three) Evaluation Units have been established and backstopped in LDCs.

Additional support is required to increase the scope and volume of the work; to facilitate more rapid production, publication and dissemination of new evaluation methodologies; to permit training of more personnel for evaluation and administration of family planning programs; to establish and support additional Evaluation Units in other countries; and to undertake short-term consultations at AID and LDC request.

This project would enable the Division to expand to the extent of an additional 8 professional, 5 supportive and 3 secretarial positions. Such expansion would augment the staff in disciplines now thinly covered (mainly by support other than AID's) and add expertise in epidemiology and economics. With additional professional and supporting staff, the greatly increased volume of ongoing development work in New York would not be interrupted by the increasing frequency of overseas activities. Furthermore, more time would be available for training in evaluation.

The expansion detailed below would permit the organization of additional Evaluation Units in at least one major family planning program and two others of intermediate size.

It is proposed that this expanded activity be projected for a term of three years, by amendment of the existing Basic Agreement and Task Order No. 1. The new obligation for core support would be in the amount of \$1,489,930. A separate Task Order, in the amount of \$113,330 would support development of the Thesaurus and Annotated Bibliography.

Subsequently, Task Order Amendments could add additional years of core support, if indicated by project accomplishments and subject to availability of funds. Evaluation Units, or other local projects (other than short-term consultations) would be funded by USAID Mission-issued task orders.

II. SETTING

A. The Needs

There is nearly universal recognition that "evaluation" is a necessary ingredient in family planning programs; almost all FP programs identify such a topic, or a responsible individual, or an organizational unit. But, very often evaluation is equated with demographic or social research at the one extreme, or the mere compilation of a head count of contraceptive acceptors at the other. Too infrequently is there real understanding that evaluation, in addition to its role in documenting results in order to answer questions posed by legislative and fiscal authorities, provides the most powerful tools for probing program weaknesses and identifying and defining program strengths--with the goal of program improvement in depth and in breadth. Evaluation, at its pragmatic best, exists to serve program management; if it fails to do so and its potential for service is unused, misused or abused, the family planning program is likely to be ill-defined, poorly organized and badly disciplined, wasteful of its resources, duplicating in its efforts but incomplete in its coverage, misled as to its goals and its

accomplishments, and unsuccessful in its ultimate aim--the reduction of the rate of population growth and the welfare of individual families and the whole of society.

It is surely no coincidence that FP programs that have been most successful, such as those in Singapore, South Korea, and Taiwan, have been those with the heaviest investment in evaluation. In these programs, baselines were established from the beginning, realistic targets were set, program inputs are regularly monitored and program activities regularly scrutinized, detailed service data are continually collected and analyzed, and demographic changes are measured--and the programs have been adaptively modified when indicated by these measurements.

Other, less successful, national programs have suffered for lack of such control based on information. It is true that many of them labor upon an insufficient or unreliable base of vital statistics, weak administrative structures, and a paucity of trained manpower. Under such circumstances, however, the need is all the greater for rapid, accurate, and simple procedures for assessing program inputs, processes, and effects at all levels.

B. The Institutional Response

The International Institute for the Study of Human Reproduction of Columbia University covers a broad spectrum of activities. The Division for Program Development and Evaluation (DPDE or "the Division") was established in May 1967. Its staff (Appendix 1), which includes a variety of disciplinary backgrounds and experience, is interdisciplinary in action, and was deliberately assembled to comprise a group representing the

integration of practical and theoretical experience. As a result, its interests have been markedly oriented to providing a strong theoretical underpinning for service directed to field problems, particularly in LDCs. This is demonstrated by the following sample of its work, other than under AID contract:

- o the CYP index to rank-order Districts and the fertility pattern method for program evaluation in Pakistan
- o the Caseload Forecasting method to estimate service needs in Trinidad
- o study of Urban Migration and Fertility in Ecuador
- o study of Family Planning and Nutrition in Guatemala
- o a client record system in Haiti.

On June 30, 1969, Basic Agreement AID/csd-2479 came into effect.

Under this contract, DPDE accepted responsibility "for designing and developing methods of evaluation of family planning programs, and their application." A core staff and activity were funded under Task Order No 1 to permit DPDE to "maintain a staff for purposes of conducting the central functions and providing coordination for the design and development of methods of evaluation of family planning programs . . ." and to ". . . travel overseas as necessary to develop work plans for agreement with the host country as a basis for issuing task orders." Separate task orders were subsequently issued by USAID Missions in El Salvador and Ecuador, and a direct contract was made with the Mission in Costa Rica, to establish and support Evaluation Units in those countries.

Progress in the development of methods and the publication of manuals has been rapid and effective, but has been limited by the

competing demands on the time of professional staff for work at home and abroad. The absence of a supporting staff adds to the difficulty. Furthermore, training facility has been limited, the demand for short-term consultation is greater than can be met, and there exist new opportunities for the establishment of Evaluation Units in additional countries.

For these reasons, and in order to create at Columbia University a major resource to meet many of AID's anticipated needs in FP program evaluation, substantial expansion of the present contract csd-2479 is required.

III. STRATEGY

The activities of DPDE are predicated on two premises. First, the immediate and primary purpose of evaluation is to serve the Administrator in program operation, by identifying for him the program's accomplishments, strengths and weaknesses and suggesting ways in which improvements may be made and savings may be effected. Second, the basic principles of evaluation are known, but to be maximally effective they need to be applied to the specific questions that arise in connection with specific problems in specific programs.

The program of DPDE is designed as a continuum leading from the identification of evaluation needs to training and field application in ongoing family planning programs, with feedback from practice to theory in order to assure flexible, realistic adaptation to specific situations. It is recognized, furthermore, that "non-rational" behavioral elements of intr-organizational relationships and cultural values and restraints have a profound influence on the utilization of "rational" models. Overall strategies for implementing evaluation programs must recognize and assign equal importance to such factors.

1. Definition and delineation of the scope and component elements in the evaluation of family planning and population programs: The Division has constructed the outline of, and is continuing to expand, a Thesaurus of evaluation terms, reasonably comprehensive of the range of evaluation in this field. This Thesaurus is designed to fit into existing and developing major library terminology systems, both on health and on population. Administrators and evaluators in the field would use the Thesaurus as a starting point in their search for assistance in one or another type of evaluation. A selected Annotated Bibliography of the recent literature is being constructed, parallel with the development of the Thesaurus and organized in the same way.

2. Development of Evaluation Methods and Manuals: The usual steps taken are as follows:

- a. Selection of question to be answered, either as posed by an Evaluation Unit or as recognized by Division staff as an important gap in coverage of a Thesaurus item; delineation of the scope of the question.
- b. Search of the literature for past experience.
- c. Conceptualization of assumptions and likely approaches; general design of method.
- d. Selection of field site for application and adaptation of the general design; decision on sources of data and methods of collection.
- e. Design of questionnaires and other forms and instructions, and of sampling, tabulation and analytical procedures.
- f. Field pretests and final revision of materials and procedures.
- g. Collection of data, tabulation, and analysis.

h. Assessment of evaluation method, based on the experience.

i. Manual of instruction in use of the method and critique of

it.

j. Field replication of the method by the Division in another country and encouragement of test by other investigators under cooperative control of factors affecting comparability.

k. A second generation manual including improvements and modifications for different situations, based on replication of experience.

The DPDE has developed several conceptual frameworks to help evaluators organize their thoughts and appreciate what types of inter-relationships can be useful in assessment of programs. One has been the basis for the Division's work from the outset and rests on the interrelated triad of program input, contraceptive prevalence and fertility reduction. This is being simplified into a manual for practical use in the field. A second framework organizes the material in line with standard systems theory. A third, on educational components of family planning programs, is in preliminary form. An Overview of Administrative Evaluation is being rewritten within the broader spectrum of administrative monitoring, evaluation, and evaluative research.

If it were possible, an ideal solution to the problem of providing assistance to the development of effective evaluation activities in FP programs would be the preparation of a complete, prescriptive "package" of forms, procedures, and analytic methods suitable for all programs in all places. This is not possible because of the many varieties of approaches, facilities and cultural settings among programs. However,

there are certain basic, generic evaluation operations which can be packaged.

a. Area profile and baseline: Lists have been produced, and will be further developed, of baseline data that should be collected before or early in the development of national or other large-scale family planning efforts. Manuals on these subjects will also indicate likely sources of data under different circumstances.

b. A basic program evaluation package: The Division is defining and assembling the elemental, essential or most useful categories of data that any family planning program must have.

Work is under way on specific evaluation instruments. The Couple-Year of Protection method for measuring amount of contraception achieved or prevailing and the Fertility Pattern method of measuring short-term group-specific changes in fertility performance are examples of incomplete developments that require refinement and final publication as manuals. The Division will explore the full potential of analysis of numerator data that become available from a well-planned client record system. Short-term trends provide operationally useful information from age/parity/social characteristics changes among family planning users, as well as among parturient women.

Evaluation of the totality of a program effort requires separate or special assessment of such important components as training, use of auxiliary personnel, educational efforts of different kinds, etc. The Division is working on a number of such components, in terms of exact definitions, units of measurement, methods of obtaining data and identification of most closely related effects, and manuals are being prepared for each subject.

In its field work, the Division is studying those special systems for the delivery of FP services which prevail in many countries. It will use this experience to describe some that may be particularly useful for different types of programs and settings, such as family planning in a national social security administration, family planning under military auspices, family planning under industrial sponsorship, family planning in the private sector.

3. Evaluation Units. The development of useful methodology for family planning evaluation is only reasonable if it is based on practical experience in program operation, if the methods can be tested in actual field situations, and if they are found to lead to program improvement. Evaluation Units established by the Division in three Latin American countries provide for these requirements on a continuing basis.

Although they serve a subsidiary function as field laboratories in evaluation, these Units are integral and vitally important components of the FP programs in which they function. They serve to assess the effectiveness of all program activities within those countries, to coordinate action and record-keeping among official and nonofficial agencies and to inculcate an epidemiological approach to evaluation. A manual on the establishment, structure and operation of a national Evaluation Unit is under preparation.

All staff except the DPDE Advisor are indigenous and they are being trained in their respective tasks while on the job. The three-year formula for the Director will include a middle period of work at DPDE in New York and/or in other countries where the Division has field activities and can offer meaningful, supervised experience. Complete self-

sufficiency of the Unit in three years should be followed by collaborative activities with the Division. It is interesting to note that, in each instance so far, the principal responsible Ministry of Health official has already seen the utility of evaluation for other health services and hopes that the Unit's scope will expand to encompass MCH services and ultimately the entire Department program.

With expanded staff, the Division will be able to assist in the development of additional Evaluation Units in other, larger national FP programs, following the pattern already established.

4. Training: The Division has carefully restricted its training activities during its development phase. Lectures and elective courses are given at the School of Public Health, Medical School and other units of the University, seminars have been conducted for WHO, and individual graduate students have been given supervision in connection with thesis work.

On-the-job training and experience is being provided in the Evaluation Units as described above. As new Units are organized, the opportunity for increased training opportunities will expand, since these new centers will provide facilities for regional workshops and short-term visits for observation by program administrators and evaluators in neighboring countries.

As staff expands and experience accumulates in New York and in Evaluation Units backstopped by DPDE, the Division will be able to give particular attention to regularly scheduled intensive seminars, and to long-term individual training, for foreign evaluation specialists.

Collaboration will be emphasized with foreign centers, including exchange of staff and supervised internship and residence field placements.

5. Short-term consultation on FP program administration and evaluation: Although limited in staff, the Division has been active in providing short-term consultants, at AID and other-agency request, to Haiti, Costa Rica, the Philippines; in the near future, it will provide similar services to Turkey. Expansion of staff will make available a substantial group of experts available to render such service without serious prejudice to ongoing activities.

IV. GOAL

On the basis of:

- o past experience in the evaluation of family planning programs in LDCs;
- o a firm and established institutional base;
- o a variety of professional backgrounds appropriate to the variety of activities in FP programs;
- o a conviction that the primary purpose of evaluation is to serve program management in the improvement of program operations;
- o an action-oriented approach to problem solving;
- o a realization that evaluation methods and approaches must be flexibly adaptable to the variety of situations in LDCs;
- o an eagerness to apply theory and experience to the development and support of Evaluation Units in LDC FP programs; and
- o continuing experience in the testing and application of evaluation systems in LDC programs;

the overall goal of this project is to:

- o develop evaluation frameworks to permit administrators and evaluators to identify FP program components in need of investigation and assessment;

- o develop an array of evaluation systems and instruments to permit rapid, simple, and practicable procedures to assess program activities and results;
- o disseminate these procedures by the publication of simple manuals (rather than esoteric scientific papers) and training in workshops and on-the-job;
- o instill an adaptive, experiential approach to program improvement through modifications suggested by the results of evaluation;
- o assist in the long-term development of effective Evaluation Units in LDC FP programs; and
- o build a corps of generalist and specialist experts in evaluation available for short-term consultation and advice to LDC FP programs, at LDC and/or AID request.

As more evaluative methods are made available, these should, insofar as possible, point toward standardization of methodology rather than diversity. Although more components of programs would be evaluated, the techniques of measurement should be such as to follow certain generally accepted principles and lend themselves with appropriate adaptation to widespread use and to comparability of findings.

Work in the development of new and improved evaluative methods should be multidisciplinary. The subsequent use of the methods in the field, however, need not call upon the same array of disciplines. On the contrary, methods should be presented in such simple form that the contributions of the several disciplines are submerged within the tools that are given to the administrator. Each discipline represented on the Division staff should be a conduit to the most advanced skills and particular techniques of that discipline.

V. COURSE OF ACTION

The project described herein is a continuation and major expansion of an existing contract, AID/csd-2479, as indicated in I and II.B, above. Funds will be added to increase the staff substantially, increase the scope of activities, and continue the work through June 29, 1974. A new task order will support the development of the Thesaurus and Annotated Bibliography. Additional task orders will be prepared by USAID Missions to support the establishment of Evaluation Units in other LDCs. Association will be maintained with Units and special evaluation projects already in existence in El Salvador, Ecuador and Costa Rica, and with those new ones to be formed by task order or direct contract.

The project may be described in two Phases, as follows:

Phase I -- Development (June 30, 1969 - June 29, 1971): This has been the phase now almost completed, as indicated by the following:

a. Staff: Basic staff has been recruited and trained, and represents the successful integration of a multidisciplinary group into a working team. The present staff of the Division is shown in Appendix 1. Broadly based, senior staff in New York is limited to three persons, only one of whom is supported by AID funds. This had made it extraordinarily difficult for them to serve their three primary functions--designing methods, developing and backstopping field units, and preparing manuals--as well as supporting and collaborating with junior staff and engaging in outside consultative and advisory missions. Similarly, the junior staff is limited to a single person representing a single discipline.

b. Achieving focus: At the outset it was a purposive policy to keep a broad outlook, to react widely to questions rather than to exclude subjects too early. The result has ranged from superficial to deeper involvement in many evaluation subjects, approximately 100 of which have been submitted to AID in preliminary form. Certain of these are now being selected for concentrated development.

The concept of a Thesaurus was a new one in the field and understanding of this has matured in terms of how to use it as well as how to employ some of the more complex techniques of library science. It now has arrived at the general shape that it will maintain.

At the same time that the Division tackled specific subjects that came to its attention, broad conceptualization in the form of frameworks was undertaken, to constitute the foundation for continuing efforts. These frameworks not only help to organize comprehensive work, but contribute to similar types of thinking elsewhere in the field and will eventually merge with those others into generic and established conceptual statements.

c. Establishing field contacts: Setting up the evaluation units occupied a large amount of staff time. Preliminary visits to countries, explorations with persons and Missions in the countries, discussions with AID Regional Bureaus, contract officers, and the Office of Population, have been very time-consuming, though necessary. The table below indicates the chronology of events; current activities in El Salvador and Ecuador are outlined in Appendix 2.

	<u>Discussions Initiated</u>	<u>Contract Effectuated</u>	<u>Implemented</u>
T.O. No. 1	1968	6/30/69	7/1/69
T.O. No. 2 El Salvador	9/69	6/1/70	9/1/70
T.O. No. 3 Ecuador	12/69	9/15/70	11/25/70
Unit in Costa Rica	9/69	5/1/71 (Est.)	2/15/71
Study in Costa Rica	9/69	9/15/70	9/15/70

Since there is no way of predicting at first contact which countries will emerge successfully with Evaluation Units, it was necessary to keep the lines of communication open in many directions. Members of the staff have been in touch with several Regional Bureaus in AID, and they have visited other countries.

d. Manuals: The production of manuals has been a time-consuming effort. Four have been completed and published, and others are in various stages of readiness. Routine procedures for printing and distribution have been established.

e. Training: The staff of the Division have given a number of courses at Columbia University as well as in the Institute itself. No formal training has been offered to LDC personnel as yet, but on-job training in the Evaluation Units has been continuous, as described above.

Phase 2 -- Expansion and Consolidation (June 30, 1971 - June 29, 1974)

a. Staff: As indicated above, only by increasing staff can the scope of work be enlarged and the pace of development speeded. It is first necessary that the nuclear disciplines be given more depth. The present proposal calls for additional persons in Public Health Administration, Administrative Methods, Anthropology, Psychology, Statistics and Communication. Furthermore, the Division is ready to absorb into its disciplinary matrix several additional categories, and an Economist and an Epidemiologist would supplement the present input by the Economic Geographer and the Public Health Physician. Appendix 3 describes each of these professional positions to be added to the core staff in New York. These additional persons will be recruited by June 29, 1972, and will be fully functional during FY 1973-1974.

Professional staff have been working with no other support than clerical. The proposal calls for research assistants to extend the reach of the professionals. Administrative assistants would take over the many nonprofessional dealings with AID, would be liaisons with field staff for the multiplicity of travel, housing, and other problems, and would expedite manual preparation and distribution.

b. Thesaurus and Annotated Bibliography: This is a specialized, time-limited activity for which a separate Task Order will be written. After the basic work has been completed, a maintenance system will be needed to accumulate new materials for an annual supplement. This function can probably be absorbed by the core staff in New York, unless it is taken over by an international agency.

c. Development of methodology and manual preparation: The flow of this activity will be at high tide. Frameworks that will be completed at an early date include:

- o Overview of Administrative Evaluation
- o Evaluation of the Educational Components of a Family Planning Program
- o An Area Profile and Baseline for Evaluating National FP Programs
- o Organizing an Evaluation Unit in a National Family Planning Program.

Work on specific evaluation methods and instruments will be expedited, and manuals will be produced on such subjects (among others) as:

- o a "basic evaluation package"
- o training, use of auxiliary personnel, education activities
- o fertility pattern method for measuring short-term changes
- o couple-year of protection method for measuring contraceptive prevalence
- o methods for estimating births averted
- o pregnancy prevalence estimation
- o the use of numerator analysis for detecting changes in fertility patterns and contraceptive acceptance.

d. Evaluation Units: The Division will continue to provide professional guidance to Units already established. Specifically, the systems and methods adopted in assisted countries after trial will be fully described and made available for adaptation by others. Regionalization of the three Units will be attempted by the designation of one of the Advisors as responsible for coordination and cooperation among them.

During this phase, exploration of opportunities for the establishment of new Evaluation Units will be undertaken actively. Preliminary

correspondence indicates serious interest in a major Asian national FP program; in several countries of intermediate size in other Regions, developing attention to FP program evaluation suggests attractive prospects for providing assistance. The DPDE will be capable of support for Evaluation Units in at least one major program and two of smaller size, in addition to those now in being. As units are established in a variety of cultural settings, increased awareness of the "non-rational" factors in organizational behavior will be necessary. Their effects on the processes and uses of evaluation must be recognized, studied, and, if possible, made to serve as supports to evaluation rather than as restraints upon it.

e. Training: Participation of the Division in elective courses and individual tutorials at Columbia University will continue, but emphasis will now be given to training for foreign personnel in techniques and approaches to evaluation. In collaboration with AID, intensive seminars for foreign participants, in New York or overseas, will be planned, although separate funding by task order will be required for implementation. Upon agreement with local USAID missions, the counterpart Director of project-assisted Evaluation Units will be attached to the Division in New York for long-term training at Columbia University. This period of training will usually be offered after about one year of on-the-job experience in the Evaluation Unit at the trainees' home base. Similar long-term training for foreign evaluation specialists of equivalent experience will be offered upon agreement of the Division, USAID/Washington, and the USAID Mission.

f. Short-term Consultations: Staff of the Division will be available for limited periods of consultation on evaluation and program

development in countries other than those directly assisted by the Division, upon the request and agreement of USAID/Washington and local Missions. The goal would be to provide the equivalent of at least one man-year each year for such consultations.

Consultation with Other Centers of Evaluation Expertise

In a still-developing field with the complexity and variability of family planning programs and their evaluation, two requirements are recognized: (1) wide scope must be provided for a variety of approaches in order to permit both adaptation to local differences and later selection from diversity, based on experience, and (2) without prejudice to the above, field confusion from contradictory recommendations must be minimized insofar as possible, by a full exchange of views among the various experts and experimenters prior to, during, and after field implementation is undertaken.

In order to provide for the maximum of complementation of the efforts in evaluation and the minimum of disparity or overlap, the Division will consult with other AID contractors engaged in closely related activities and manuals preparation, insofar as possible and as frequently as appropriate. The Division will also participate in semi-annual meetings of the Evaluation Panel, held in Washington or elsewhere, for detailed discussions of activities of the several contractors. Furthermore, manuscripts of proposed manuals will be provided to AID (and may be distributed by AID to other contractors) for comment prior to publication.

In order to expand the usefulness of the International FP Data Bank, maintained for AID by Bureau of the Census, service data available

to the ~~Division from Evaluation Units~~ in assisted countries will be sent to BuCen. Furthermore, while on consultations to other country FP programs, DPDE staff will attempt to make arrangements for the routine sending of reports and data to BuCen by these programs.

Budget

Under Task Order No. 1 of Basic Agreement AID/csd-2479, \$93,160 has been obligated for the period June 30, 1971 to June 29, 1972. Additional funds required for expansion of the core program, as described above, for the same period total \$386,470. This is shown in detail in Appendix 4.

The total new budget request (covering period June 30, 1971 - June 29, 1974) is \$1,489,930, as shown in Appendix 5. Totals after the first year allow only for salary increments for the same level of support, and do not include costs for equipment.

Appendix 1. Present Staff

<u>Position</u>	<u>Name</u>	<u>Location</u>	<u>Funding</u>	
			<u>AID</u>	<u>Othe</u>
Director	Samuel M. Wishik, M.D.	New York		X
Assistant Director	Jack Reynolds, Ph.D. (Administrative Science)	New York		X
Assistant Director	Donald W. Helbig, M.C.	New York	X*	
Research Associates, Field				
Evaluation Unit Advisor	Juan B. Londoño, M.	San Salvador	X	
Evaluation Unit Advisor	Mario Jaramillo, M.	Guayaquil	X	
Socio-Medical Science	Tin Myaing Thein, Ph.D. Candidate	San Jose	X	
Anthropology	Susan Scrimshaw, Ph.D. Candidate	Guayaquil		X
Research Associates, Central				
Psychology	Bernard Pasquariella, M.A.	New York		X
Mathematics/Statistics	Rukmani Ramaprasad, M.A.	New York	X*	
Demography	Kwan Hwa Chen, M.A.	New York		X
Nutrition	Rachel Grinker, M.A.	New York		X
Health Education	Susan F. Klein, M.A.	New York		X
Economic Geography	Julia Shimmel, M.A.	New York		X
Computer Programmer	vacant		X*	
Research Assistant	Fraya Valenzuela	New York		X
Librarian	Katherine Speert	New York		X
Library Assistant	Judy Wilkinson	New York		X
Indexer	Frances Abramson	New York		X
Executive Secretary	Helen Theoharris	New York	X*	
Secretary	Barbara Lee	New York	X*	
Secretary	Hilda Rosa Kairuz	New York		X
Secretary/Receptionist	Penolia Daye	New York		X

* Task Order No. 1
csd-2479

Appendix 2. Activities Since Initiation of
Evaluation Units in El Salvador and Ecuador

A Columbia University Advisor was assigned to El Salvador and Ecuador in September 1970 and November 1970, respectively, to begin work on the organization of an Evaluation Unit in each country. These projects were initiated in what constituted almost organizational vacuums. Although family planning services were being offered through several institutional mechanisms in each instance, there had been no coordination of their efforts, no records (beyond simple head counts) of their accomplishments, and no objective examination and assessment of their activities. The first steps, therefore, included bringing the various groups together, establishing some uniform supervisory and reporting procedures, and collecting information on what was happening. Only after this was accomplished (or while it was in process) could steps be taken to examine program components and results in detail.

I. EL SALVADOR

The Evaluation Unit consists of a Director, a Statistician, a Field Assistant and a Secretary--in addition to the foreign Advisor. It is incorporated into the organization of the Ministry of Health, but functions to coordinate and evaluate FP clinics operated by the Social Security Institute and the Demographic Association, as well as those of the MOH. Its present activities include:

- a. A census of program caseload. All clinics are completing a standard form to record some details and the current status of all acceptors who have ever registered for FP services.

b. Uniform service statistics system. All clinics are now using improved and standardized acceptor forms, summaries, and analytic reports.

c. Analysis of clinic operations. A checklist has been prepared and a sample of MOH clinics will be visited for detailed examination.

d. Evaluation of training courses of the Demographic Association. Included are needs, objectives, activities and outputs, and the design of a prospective study.

e. Study of abortion services in Social Security Institute, including comparison of costs with family planning.

f. Preparation of a Country Profile, similar to those of other countries as published by The Population Council.

II. ECUADOR

The Unit consists of a Director, an Administrative Assistant, a Demographer-Statistician, a Secretary, and a Driver--in addition to the foreign Advisor. It is organizationally within the Ministry of Health but serves the FP programs of Family Welfare Institute and the military forces, as well as that of the MOH. Its present activities include:

a. Uniform service statistics system. All clinics are now in a single reporting network.

b. Study of clinic operations. All 50+ clinics will be visited for detailed study, including staff training, staff-client relations, and manpower requirements.

c. Developing a training program for new staff.

d. Developing a supervisory structure; none now exists.

e. Developing a postpartum FP program, and a system for service statistics for OB/GYN and FP Clinics at Maternity Hospital, Guayaquil.

f. Calculation of projections of FP service needs. Based on census data, age-specific fertility rates, estimated contraception continuation rates, etc., calculation of service levels needed to achieve specified goals of fertility reduction.

g. Development of coupon system, for private physicians' incentive payments.

h. Preparation of a Country Profile, to be submitted for publication by The Population Council.

Appendix 3. New Professional Positions

PUBLIC HEALTH ADMINISTRATOR

This person would add to the contributions of Drs. Wishik and Helbig. He would be a physician experienced in public health and family planning administration who would constantly monitor the practical clinical and program facets, especially within the health infrastructure where most family planning programs are placed.

EPIDEMIOLOGIST

This person would bring to the Division a new disciplinary approach. As a medical doctor with special training and experience in epidemiologic analysis, he will have demonstrated his general competence in the investigation of the determinants of public health problems and their resolution. He will be particularly involved in such projects as the application of numerator analysis to the monitoring of family planning programs.

ADMINISTRATIVE SCIENCE EXPERT

This person would parallel Dr. Reynolds. He need not have any previous experience in family planning programs, but would bring from his discipline, principles, theories, techniques and methods of measurement based on systems analysis. Of equal importance, moreover, his knowledge and experience must enable him to cope with cultural and organizational resistances to "rational" models of evaluation which are being developed. These concepts, however, are implicit in all of the developmental work and activities of DPDE, and all of the professional staff are expected to contribute to their incorporation into final recommendations.

PSYCHOLOGIST

This person would complement Mr. Pasquariella. Study of the characteristics of persons who do not adopt and practice contraception has been very limited on the whole, and psychologic studies have been quite superficial. It is obvious that personal feelings, biases and needs are crucial to change in held values and to the level of motivation required for effective family planning, and these apply to the male as well as female partners. Sophisticated studies are needed to acquire understanding of these matters, but extreme skill is called for to translate these into selective, simple field instruments that can be practicable aids in the hands of lower level personnel in family planning programs.

SOCIAL SCIENTIST

This person, either from sociology or cultural anthropology, would add to the contributions of Miss Scrimshaw, Miss Thein, and Dr. Londono--all of whom are on foreign assignment. Many of the answers we seek rest in a more scientific, in-depth look at people in their homes and communities. Of particular importance will be studies of urbanization, the most remarkable, pressing and disruptive component of the population problem throughout the developing world.

HEALTH EDUCATOR AND COMMUNICATION EXPERT

This person would join with Miss Klein in trying to isolate discrete elements of the communication parts of family planning programs so that they may be modified and appraised separately from the many variables that surround them. A project is being planned in Haiti that would focus on how to reach men, a much neglected potential aspect of family planning efforts.

STATISTICIAN

This person would add to the present statistical resources in the Division. Particularly desirable would be a person who has had experience working in a health department or related service agency and who has suffered through the problems of client records, reports and analyses.

ECONOMIST

This person would add competence in cost analysis, planning, selection of priorities and assessment of family and community welfare, among other aspects. He would bring econometric statistical techniques to Division investigations.

Appendix 4. Additional Funds Required for Period

June 30, 1971 - June 29, 1972

Personnel (All full-time)

Public health administrator - physician	\$ 25,000
Administrative methods specialist.....	18,000
Psychologist	15,000
Social scientist.....	15,000
Health educator and communication specialist (media and materials).....	14,000
Statistician	15,000
Economist.....	18,000
Epidemiologist	25,000
3 Research Assistants at \$9,000	27,000
2 Administrative Assistants at \$9,000	18,000
3 Secretaries at \$7,000	21,000
Fringe benefits (10%)	21,100
Indirect costs (48%)	<u>101,280</u>
	\$ 333,380
Supplies	4,000
Printing and distribution	10,000
Equipment (at \$600 per professional and \$1,000 per supportive).....	13,000
Travel	<u>17,000</u>
	44,000
Subtotal	377,380
	<u>9,090*</u>
TOTAL.....	\$ 386,470

* Additional to bring indirect costs in existing FY 1972 obligation to 48% now allowable, from 32% previously allowable.

Appendix 5. Total Budget Request

C O R E S U P P O R T

THESAURUS

	<u>6/30/71 - 6/29/72</u>		<u>6/30/72 - 6/30/73 -</u>		<u>Subtotal</u>	<u>FY 1972</u>	<u>Total</u>
	<u>T.O. No. 1</u> <u>(Obligated)</u>	<u>New Requests</u>	<u>6/29/73</u>	<u>6/29/74</u>			
Salaries	\$56,800	\$211,000	\$280,600	\$291,000	\$839,400	\$61,600	\$901,000
Fringe (10%)	5,680	21,100	28,060	29,100	83,940	6,160	90,100
Travel	6,500	17,000	23,500	23,500	70,500	--	70,500
Other	6,000	27,000	20,000	20,000	73,000	16,000	89,000
Indirect (32%)	18,180	--	--	--	18,180	--	18,180
To reach 48%	--	9,090	--	--	9,090	--	9,090
Indirect (48%)	--	101,280	134,690	132,680	375,650	29,570	405,220
SUBTOTAL	\$93,160	\$386,470	\$466,850	\$503,280	\$1,469,760	\$113,330	\$1,583,090
					<u>177,080</u>		<u>177,080</u>
TOTAL					\$1,646,840		\$1,760,170

Estimated expenditures through 6/29/71

(New Requests) (\$1,376,600) (\$113,330) (\$1,489,930)

932-855

MEMORANDUM

DATE: May 25, 1971

TO: AA/TA, Mr. Joel Bernstein
FROM: TA/PM, Kenneth S. Levick *K. Levick*
SUBJECT: Request for Approval of Revised PROP --
Application of Methodology for Evaluating Family
Planning Programs

This revised PROP represents a continuation and substantial expansion of present support to Columbia University for a program directed to the incorporation of effective evaluation into family planning programs. The goal is to create a major resource for the development of evaluation methodology and for delivery of direct and indirect services to evaluation personnel and activities in LDCs.

The previous contract with Columbia University provided the following services: (1) Development of a Thesaurus and Annotated Bibliography to serve as a guide to what has already been learned and accomplished in the evaluation of family planning programs; (2) Development of new frameworks and methodologies for evaluation, their testing in field situations, and their publication in manual form to provide a complete set of procedures and options for FP program evaluation, and (3) Establishment and backstopping of Evaluation Units in LDCs for the dual purpose of improving the management of FP programs, and providing field sites for testing and improving methodologies developed under (2).

An expansion of project activities will increase the scope and volume of work; facilitate more rapid production, publication and dissemination of new evaluation methodologies; permit training of more personnel for evaluation and administration of family planning programs; establish and support additional Evaluation Units in other countries, and, undertake short-term consultations in response to AID and LDC requests. Expansion would permit additional staffing of eight professional, five supportive and three secretarial positions. It would augment staff positions now thinly covered, and would add expertise in epidemiology and economics. The expansion would also permit the organization of additional Evaluation Units in at least one major family planning program, and in two others of intermediate size.

It is proposed that this expanded project be extended for a twentieth-one month period of operations. FY 1971 funding will provide for the expansion of core staff at a cost of \$752,000, and for \$113,000 to support development of the Thesaurus and Annotated Bibliography. During FY 1972, an additional \$625,000 will be provided to carry the project through to its termination.

TA/PM recommends approval of the revised PROP. If you agree, please sign the attached Project Authorization.

Attachment
a/s

The Record

May 26, 1971

/s/ Samuel H. Butterfield

AA/TA, Samuel H. Butterfield

Application of Methodology for Evaluating Family Planning
Programs - Project No. 931-11-580-855

I have approved this PROP following a discussion with Dr. Gelfand and Mr. Kerchen. The discussion clarified the need for the substantial percentage increase of staff proposed for funding through this project. Boiled down, the following fundamental justification remains:

1. Despite strenuous efforts the 2-1/2 manyears per year of time funded by the project in the past were insufficient to accomplish the goals in the time frame required.
 - A. Initial expectations were that the input of funds to DPDE would result in a larger than proportionate return in total DPDE manyears devoted to matters of direct AID interest because of mutual interest in these matters. The approach was worth trying, but other legitimate claims on the time of DPDE staff have been too great to permit it to work out. Therefore, we are going to have to pay for what we want and more people are required to produce the work required.
 - B. Much of the 2-1/2 manyears per year financed by the project today have been involved in the ~~initial~~ and ultimately successful country's "probes" as a preliminary to development of mission-funded task orders.
2. The field demand for these services does seem to be increasing. Initial cost of work in LDC's is paid from this project. The long-term country-specific-sub-projects are financed by the missions through task orders. There is strong possibility that Indonesia, Turkey and Tunisia will need initial expert assistance within the next few months.

cc: RKerchen:TA/PM
HGelfand:TA/POP

January 20, 1972

**GUIDELINES FOR PREPARATION
OF THE
RESEARCH ANNUAL REPORT**

The attached guidelines suggest the format and the detail for annual research reports that are required in all research contracts. The research contractor will submit thirty-five copies of the report with appendices to the A.I.D. Project Manager. The A.I.D. Project Manager will submit two copies to TA/RUR and two copies to the A.I.D. Reference Center.

The outline should prove useful to the contractor in preparing the report, and provide an improved basis for annual project reviews. The contractor is encouraged to develop a self-contained report as outlined below in approximately fifteen double-spaced pages. Additional material may be annexed as necessary for a comprehensive report. The fifteen page report is intended to provide a barebones statement of the effectiveness of research resources and methods in producing research results according to annual work plans, and the significance of these research results for the solution of the problem being addressed. Annexed material is essential for a critical review of assertions regarding findings, significance, etc.

REPORT SUMMARY 1/

- A.
1. Project Title and Contract Number:
 2. Principal Investigator, Contractor and Mailing Address:
 3. Contract Period (as amended): 2/ from _____ to _____
 4. Period covered by Report: from _____ to _____
 5. Total A.I.D. funding of contract to date:
 6. Total expenditures and obligations through previous contract year: 3/
 7. Total expenditures and obligations for current year: 3/
 8. Estimated expenditures for next contract year:
- B. Narrative Summary of Accomplishments and Utilization

(In this space provide a concise statement of the principal accomplishments during (1) the period of the report and (2) life of the project in relation to research objectives and actual or potential operational significance.

This information does not substitute for a full discussion of the same points required in the body of the Annual Research Report as outlined below.)

- 1/** "Report Summary": Statistical Information (Item A) and the Narrative Summary of Accomplishments (Item B) should be reported on a single page. This page will be for general public use as well as project management purposes, and should be written for a general rather than a technical audience.
- 2/** Item 3 - Contract Period (as amended): Report the original date of the contract and closing date as prescribed by the contract or any amendment thereto.
- 3/** Items A 6-8: These items refer to expenditures including firm obligations by the contractor. Obligations are the contractor's legal but unpaid commitments, i.e., subcontracts, purchase orders, etc.; and other related accruals through the end of the reporting period. A "contract year" is one between anniversary dates of the contract.

ANNUAL RESEARCH REPORT

A. General Background

Prepare a concise statement that provides the background and rationale that led to the initiation of the project. This summary should state the nature and importance of the problem to which the research is addressed, and the rationale that links the research activity to the problem.

B. Statement of Project Objectives as Stated in the Contract

The purpose of this section is to record in a precise and concise way the objectives of the research project. The objectives as stated in the contract may have been interpreted, expanded or further defined in other documents and mutually agreed to by A.I.D. and the contractor. This section should reflect the contractual objectives as modified by these supplementary understandings.

C. Continued Relevance of Objectives

Does your research to date, or other circumstances, indicate a need for modification of project objectives as stated in the contract? If so, in what respects?

D. Accomplishments to Date

1. Findings: Provide a statement of the principal and significant findings and other accomplishments for the reporting period as they relate to the anticipated results in the year's work plan. (See material for the year similar to that requested in G.1. below for the coming year.)

Discuss the operational significance of the findings of the current year's research for attainment of project objectives as stated in Section B above. The discussion should include reference to existing knowledge, recent research findings by others, and cumulative findings and accomplishments of this project.

Also discuss side effects of the work, positive or negative. For example, do the findings to date suggest unexpected complications for the application of findings; do they suggest the need for more direct approaches to the problem than were originally anticipated; or is the research developing information and insights not expected in the scope of the work?

2. Interpretation of Data and Supporting Evidence:

Summarize briefly the evidence and analysis that support the findings cited above. To permit a critical analysis of the evidence and analysis, expand as necessary in an appendix to each copy of the report.

3. Research Design: State briefly any significant modifications made in the research design prior to the current reporting period.

Are the present techniques, instruments or mode of inquiry appropriate and/or optimal for the study design? In view of the findings of the past year or your experience with the research measures employed, do you recommend modifying: (1) the research design or (2) research techniques? For example, have there been special problems of data availability, sampling, data processing, or ineffective techniques? Have research findings revealed technical relationships that suggest a continuation of present methods or do they suggest a new approach?

E. Dissemination and Utilization of Research Results

1. Briefly describe efforts made under the contract to disseminate the results of the research project. Attach as appendices two lists: (1) a bibliographic list and an abstract not exceeding 200 words of papers and publications developed under the contract and (2) a list of short statements that identify each known use of materials produced by the project for seminars, conferences, translations, or as background material for speeches, policy statements, etc.

2. Cite evidence and cases known to you that findings of the research project are being used in LDCs, the U.S., or both, in training, direct application to the problem, etc.

3. Has the experience of the past year suggested new or more effective ways to expand the use of research results? If so, discuss the experience and as appropriate include proposed steps in the work plan (Item G below). Indicate whether your proposals can be carried out under current provisions of the contract, or would require new contract arrangements by A.I.D.

4. Discuss the extent and nature of considerations to involve LDC personnel and/or institutions as an appropriate activity of the project. If judged appropriate, discuss the kind and extent of LDC involvement in (a) planning the project, (b) the execution of the field work, (c) the analysis and reporting of results. Plans to involve LDCs in the future should be reflected in the work plan in Item G (4) below.

5. Under separate cover forward four copies of publications, seminar reports, translations and other materials representing efforts to disseminate results of the research project, and evidence of the results being utilized by LDC or U.S. people or institutions.

F. Statement of Expenditures and Obligations and Contractor Resources

Provide a statement of expenditures and obligations related to the budget plan for the year. This statement should show expenditure and obligations for each of the (1) major inputs (Personnel, equipment, travel, etc.) according to (2) the major accomplishments or work targets that had been planned for the year's work.

Identify significant problems or accomplishments in the progress of the project related to the volume, effectiveness, or scheduling of the manpower, equipment, travel, etc., made available by these expenditures.

Discuss significant changes or modifications in project management, in the staffing pattern, physical facilities, institutional environment, etc.

G. Work Plan and Budget Forecast for Coming Year

Taking into consideration the past year's progress and expenditures and the work remaining to be done over the life of the project, present a work plan and budget for the coming year.

1. anticipated accomplishments for the coming year.
2. procedures to be used and activities to be carried
3. significant factors that you anticipate that will promote or impede accomplishments.
4. a plan for dissemination and utilization of the expected results of the research in the U.S. and in LDCs as applicable.
5. a budget statement that shows planned expenditures for each of the major inputs (personnel, equipment, travel, LDC involvement, etc.) according to the major accomplishments, or work targets that are planned for the coming year's work.

H. Appendices

- Reports of technical data and analyses (Par. D. 2)
- A bibliographic list with abstracts of papers and publications (Par. E. 1)
- A list of uses made of research findings and reports (Par. E. 1)
- Other appendices as appropriate.