

CONSULTANT REPORT
FOR THE EVALUATION OF
FAMILY PLANNING INTERNATIONAL
ASSISTANCE

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CONSULTANTS REPORT
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FAMILY PLANNING INTERNATIONAL ASSISTANCE

I. INTRODUCTION

The primary attention of this report is given to the organization, structure, management, administration, and project support of Family Planning International Assistance (FPIA), and the extent to which these factors ensure or limit:

- (1) maximum effectiveness of grant resources (inputs) without hindering or obstructing project action;
- (2) FPIA accountability for project inputs and outputs;
- (3) consideration of alternative approaches to project support;
- (4) employment of effective management "systems" and procedures; and
- (5) utilization of administrative, professional and technical skills of FPIA staff.

The overall appraisal is that the organization, structure, management, administrative and project support of FPIA are conceived and executed in a manner that ensures the achievement of the purpose and specific objectives of Grant No. AID/pha-G-1131.

The Evaluation Scope and Guidelines (Appendix A) presented a series of illustrative questions to be answered. We have responded to these and other questions and have indicated our recommendations and suggestions both in the text and in the following chapter.

The consultants wish to express their thanks to FPIA staff in New York and in the field for their full cooperation in explaining activities, providing reports and documents, and for facilitating a compact three week schedule. We also wish to acknowledge the cooperation of PPFA, IPPF Representatives of International Agencies, the FPIA sub-grantees, and AID (both in overseas Missions and in Washington), and especially the AID/FPIA Project Monitor whose supportive and facilitative role was cited repeatedly during the course of this evaluation. (Appendix C lists the organizations and persons contacted.)

II. SUMMARY OF MAJOR RECOMMENDATIONS

The major recommendations contained in this report are summarized below. The Roman numeral and letter in parentheses after each recommendation refer to the chapter and section(s) of the report to which the recommendation relates.

1. FPIA should continue to develop its system of decentralization of responsibility and authority while providing leadership and accountability at headquarters. (III A)
2. In pursuing the introduction of a system of management by objectives, FPIA should:
 - ensure that project objectives are realistic,
 - consider developing an incentive system for superior performance, and
 - adapt the system for headquarters staff and Regional Directors. (III B)
3. FPIA should implement pending organizational changes which will lead to greater economy and better performance. (III E.)
4. FPIA should conduct a monthly review of progress and status by a board consisting of the Chief Operating Officer, the Directors of Field Operations, other Department heads and the Executive Vice President of PFFA. (III F)
5. FPIA should develop a professional/technical capacity to assimilate, integrate, and disseminate evolving practices in the complex area of service delivery. (V A)
6. FPIA should improve its feedback to the regions and to projects by making it more analytical and interpretive. (V A, VI A)
7. FPIA should strengthen its capacity to develop specialized evaluation approaches for use in overall program assessment as well as for application to particular sub-projects. (V A, VI A)
8. FPIA should continue to assist projects to meet minimal reporting and evaluation requirements. It should also make more of an effort to assist projects which are capable of going beyond minimal requirements (V A, VI A)
9. FPIA should continue its activities with respect to disseminating findings from its projects and should expand

the scope of this activity to include dissemination of information about effective project processes. (VII E)

10. FPIA should continue its efforts to develop a roster of Third World consultants and to employ them to provide technical assistance to subprojects. (VI A, III C)
11. FPIA should develop mechanisms for prompt response to needs for consultant services under its AID grant. (IV C, VI B)
12. FPIA and AID should continue to explore approaches to facilitate prompt and effective response to small scale project opportunities. (VIII B)
13. FPIA's carrying capacity is well beyond its current level of activity and current systems are certainly capable of dealing with an increased workload. Support staff at headquarters and program and support staff in the regions will have to be augmented if the systems carrying capacity is to be fully exploited. We would urge caution against increase in FPIA commodity activities without appropriate increase in project activity, as it is the latter aspect of its program that makes FPIA unique as an organization. (VII G, VIII D)
14. FPIA should add on-site spot checks and annual inventory requirements to its current commodity reporting systems. (V A)
15. FPIA should explore the possibilities for CWS trucks to backhaul freight when returning from a trip instead of deadheading. (V E)
16. FPIA should review inventory turnover and space usage at the Windsor, Md. warehouse. (V E)
17. FPIA should explore means to reduce the burden of keeping multiple sets of accounts required by overlapping grants. (III D)
18. Concurrent with decentralization, and particularly if FPIA activity is increased, FPIA should consider reorganization of and within Regions. Within Regions, Deputy Regional Directors and/or Senior Program Officers and additional support staff will be required. (III F, VII D, VII G)
19. FPIA should develop appropriate career ladders for local hire Regional Office staff. (VII C)
20. With the introduction of new systems for project formats and reporting requirements, FPIA should undertake a complete review of the content, periodicity, and circulation of all project, Regional Office, and headquarters reports. (VII F)

21. With the rapid changes in Regional Office role and function, FPIA should undertake an examination of activities and the time spent on them by Regional staff.
22. FPIA should continue to monitor the level and turn-around time on replenishment of the Regional Office revolving funds. This area of management may require adjustments as Regional Offices expand in size and scope. (VII E)
- ~~23.~~ FPIA should explore more flexible means for Regional Directors to meet local hire staffing needs. (VII D)
24. FPIA should consider using a more prestigious title for its field staff. (VII F)

III. GENERAL ASSESSMENT

A. What was the evaluation team's overall impression of FPIA management?

FPIA is soundly managed by almost any criterion. The organizational structure is lean but functionally adequate to the tasks to be done. (See Appendix B.) Planning, budgeting and controls are central to the administrative system. Systems are in place for project review and appraisal, finance and logistics operations, and the synthesis of management information. Sound personnel practices; such as job descriptions, job evaluation leading to a clear progression of grade levels and compensation steps, and a morale building environment are in evidence. Overall supervision and assistance provided by officers of PPFA, the oversight committees of PPFA, and AID itself are effective elements in making FPIA management aware of its need for accountability, performance and development. The personnel appear to be capable and dedicated.

Finally, but most important, revised concepts aiming at decentralization of responsibility and authority while providing leadership and accountability at headquarters should strengthen the capacity of the organization to carry out its job. Further elaboration of these points follow.

B. How has FPIA introduced a system of management by objectives?

The organization has introduced the technique of "Management by objectives" (MBO) and is developing the procedures and systems to carry this out. The concept is well-known and accepted in management theory. Its implementation is, of course, the test of its effectiveness, and it is somewhat early to tell how well it is working. At project levels the objectives are being set forth explicitly--both short and long term. It is not clear, however, to what extent the objectives are being worked out realistically and with mutual agreement on the part of the project leaders and FPIA, as is fundamental to MBO. Present instructions stress that this should be done. On the other hand, it is clear that resource commitments to attain objectives are as specific as possible.

Evaluation procedures are built into most projects and appear to be working well, are instructive to project personnel, and provide management with timely reports.

There are several aspects of the MBO approach that may bear inspection or should be considered. These are:

- (1) Assurance that project personnel and regional leadership have mutually and realistically worked out objectives, both quantitative and qualitative. Such mutuality is essential, however it should not be based on easy compromises but on hard bargaining against tough goals.
- (2) In most MBO systems, incentives are provided by exceeding goals. Although money does not seem to be appropriate as a reward for superior performance, other incentives could be devised.
- (2) Management by objectives seems to be limited to projects in the field. There are no specific objectives spelled out for FPIA headquarters executives or for the Regional Representatives as far as can be determined. There is no reason why this should be the case, and it is recommended that such objectives be instituted and supervised.

C. What is the quality of FPIA leadership?

The Chief Operating Officer is clearly in charge of the organization and aware of the activities taking place. He has instituted management systems in project review and monitoring, finance, logistics, and management information, a great deal of which are keyed to computerized reporting. Personnel changes have been made to strengthen the organization and a few more are contemplated.

A major conceptual change in operation is in process in the course of which a chief operating responsibility for project development and achievement will be decentralized to regional offices. This change necessitates organizational changes in FPIA headquarters, both in structure and philosophy, and these are being worked out. Almost all executives have had field experience in Third World countries and understand the requirements of such environments.

An additional concept of significance is that of developing Third World consultants to provide technical assistance as needed. The benefits should be less pressure for such personnel at headquarters, or hired from U.S. organizations; lower costs for fees and transportation, and in some cases for transportation only, if projects can lend technical assistance personnel for a short time to other projects; and, in many cases, greater acceptance and rapport between advisors and advised.

The basic priorities of the organization are being adhered to and stressed. As a result, FPIA is able to augment governmental programs by its ability to work with and through rural groups, church groups, women's groups, and youth groups.

FPIA continues to stress innovative projects and innovative ideas are encouraged at all levels in the organization.

Leadership qualities appear to be sought for and to be present throughout the organization. The Director of Field Operations is particularly regarded as such, both in the New York headquarters and the field, and the Regional Directors in the Phillipines and Bangladesh are people of strong leadership qualities, personal drive and energy who are respected by regional AID officials as well as other colleagues and grantees.

D. How effective are FPIA Financial systems?

The financial and accounting function is currently being managed by experienced accountants and the entire procedure; including budgeting, control of expenses, reimbursements, general books of account, and periodic summaries is well handled. Most operations are automated and processed rapidly. The biggest problems are the distances from many agencies and with environments of lesser financial sophistication than that of the industrialized world. These problems are being worked out, particularly in instituting financial understanding and control at the project level. It is important to realize, however, that the very nature of FPIA's activities in dealing with many managerially unsophisticated groups in developing countries entails a continuing program of training in financial and accounting controls and the expectation that problems will be continuing. It is less easy to accept the fact that AID overlapping grants will require three sets of books if the grant is renewed. If possible, a review of this burden should be made to see if it can be reduced.

E. How effective is FPIA's program management?

Direct management of family planning services of a project nature (which is evolving to be increasingly supportive of Regional Directors) is the responsibility of the Deputy Chief Operating Officer. She is assisted by an Assistant Director who has three Program Associates and whose primary assignment is to screen, review and monitor all proposals. The Assistant is also a training specialist and is involved in preparation of I & E materials as well as taking on active role in field management. She acts for the Director of Field Operations when the Director is away from New York.

The Director of Field Operations has a Coordinator of Technical Assistance and two other Technical Assistance

Specialists. A possible reorganization would involve a Technical Specialist responsible for providing technical assistance in IE&C arranging meetings, handling visitors from abroad and providing assistance in person in the field. A new Communications Specialist will be responsible for production of manuals, reports to other organizations and other internal publications. A third position, now vacant, may be filled with a person with management and allied health skills. These types of changes should result in some economy and better performance. It is not clear why the newsletter, published by Management Information, should not be assigned to the communications specialist, if in fact this person is to be a skilled editorial professional.

F. How effective is FPIA field management?

Lean as is the FPIA headquarters staff, field management is even more so. As the New York office's philosophy of greater autonomy in the field develops, the need for more professionals in the field will grow.

FPIA headquarters has developed a screening and ranking procedure for new projects, but the identification and development of these is done in the field. All of the paperwork begins with reports from the field or requests. New projects may be identified by almost anyone: FPIA, PFFA, AID, local governments or indigenous groups or organizations, etc. But the task of actually developing the project, selecting and training the project manager, preparing the proposal, setting objectives, handling the sensitive political and social environment that usually exists, and overseeing and reviewing all documents, is the task of FPIA. Most of it also falls on the Field Representative who usually travels at least 50 percent of the time. Although each Field Representative has two local hire Program Assistants and secretaries, if the Phillipines and Bangladesh are typical, a Deputy is needed just as at Regional headquarters. This person could be a third Program Assistant who is graded at a senior level, but must be someone available to take the responsibility while the Regional Director is away and to maintain continuity since turnover among Program Assistants in the field is likely to be high. In the Phillipines the turnover is high because of the women who leave when their husbands move, or other personal reasons. In the Phillipines, particularly, the Regional Director is away a great deal of the time and a well paid deputy would assure continuity. Since Ms. Lorenzana's health may be a subject of concern, this is a matter of some immediacy.

It seems to be obvious that the greater the degree of field autonomy and flexibility, the greater will be the need for liaison with other regions and headquarters, and the greater will be the need for monitoring and control where objectives are not being met.

Much as the concept of field autonomy is appealing, and much as the Director of Field Operations needs to travel in the field, we are of the opinion that a major portion of her time must be spent in New York involved in monitoring, controlling, communication and corrective actions which are the managerial requirements for headquarters top management. As relatively small as the organization may be, it is engaged in a large number of diverse activities over much of the world, and it is essential that the Director of Field Operations be in New York enough of the time to assure that the coordination and "funnel functions" do not become "bottlenecks."

Headquarters management considers itself as support to the field and even acts that way; at the same time, it maintains ultimate responsibility and accountability for its programs. It appears that a monthly review of progress and status by a board consisting of the Chief Operating Officer, the Director of Field Operations or her Deputy, the other department heads and the Executive Vice President would be a useful means to ensure that day-to-day informal decision making is checked in a more systematic manner.

IV. PROJECT MANAGEMENT

- A. How does FPIA identify project opportunities? Does the legitimate "promotive" role of FPIA allow for sufficient exercise of host country or local organization initiative?

FPIA identifies project and commodity distribution activities in a variety of ways including: sponsoring project development workshops, regional representatives generating projects in countries in their region, referrals from other agencies, suggestions from host-country governments, suggestions from AID (Washington and overseas missions), and by expanding and/or redirecting the activities of an already existing project.

The most important promotional activity comes out of the Regional Representative's field operations. In the country of residence, the Regional Representative is constantly in contact with family planning organizations, rural and community development institutions, groups with family planning service delivery capability and interest, government agencies, USAID Missions, and the local officers of international agencies. This pattern obtains in other countries of the region but with a reduced intensity than in the representative's country of residence.

FPIA's promotive activities do not compromise host country or local organization initiative. FPIA has adopted an open posture which, in effect, says to organizations, "FPIA can assist you to do what you want to do."

- B. Does FPIA maintain a system or procedures to screen or rank order project proposals? Are the ranking criteria appropriate? Does FPIA amend or negotiate changes in project proposals in collaboration with potential subgrantees?

One of the products of the previous evaluation of FPIA was a revised project rating system which included both screening and rating factors. That system was appropriate at a time when proposals were either unsolicited or developed in hasty consultation during FPIA headquarters staff visits to potential subgrantees. With the placement of four regional offices, the project review and approval process has evolved to a point where the Regional Representatives perform all necessary screening (using the factors contained in the old rating system) prior to the project being submitted to FPIA headquarters. At this point ranking projects is not an issue. At issue is how to make each project most capable of achieving its goals and objectives. The review that takes place in New York is an administrative and technical review. On the administrative side each project is reviewed for budget, organization, staffing, timetables, logistics and for consistency among all of these elements.

Technically, projects are reviewed for program content, objectives, IE&C components (if any), medical implications, and evaluation plan. In most instances, project proposals which require modification are returned to the Regional Representatives for discussion with the proposing institution. On occasion, where a change is minor and time is short, unilateral changes have been made.

C. Does FPIA provide adequate assistance to potential subgrantees in project planning and design, and in establishing administrative, reporting, and evaluative procedures?

The decentralized regional organization of FPIA enables FPIA to provide considerable assistance to potential subgrantees in project planning and design and in establishing appropriate administrative, reporting, and evaluative procedures. Further, the revised project formats and reporting forms recently developed in New York should contribute to effective planning, design, and reporting. Finally, where any of the items considered under this heading pose a problem that is not soluble, either by reference to headquarters guidelines or through Regional Representative assistance, FPIA has the capacity both formally and informally to provide specialized technical assistance to projects. For example, a consultant on record keeping and data collection was sent to work with the Nepal Women's Association which had been experiencing difficulties in these areas. Also, in Bangladesh, informal consultation on record keeping and evaluation was provided to the "Concerned Women" project by the staff of the Cholera Research Laboratory. A simple end use reporting system is being introduced to commodity recipients in Bangladesh. Regional staff will assist projects to implement appropriate reporting systems

- FPIA first tries to meet technical assistance needs through Regional Office and/or New York staff intervention. Where outside assistance is required, FPIA may utilize a variety of resources through different means. Direct employment of consultant services under the AID grant, however, does require prior AID approval. This requirement often interferes with the need for prompt response. Therefore, we recommend that FPIA and AID jointly explore means to provide prompt response to needs for consultant services under the grant. Arrangements should be considered whereby such consultant services, up to a predetermined time and/or amount of money, may be provided without prior AID approval.

D. Does FPIA adequately monitor its projects to provide administrative or technical support as needed - to ensure proper use of resources provided to grantees - to identify current or potential problem areas?

Project reports are sent from the project to the Regional Representative and then to the FPIA headquarters. Project monitoring

takes place in New York and in the Regional Offices. Both review project program and financial reports for timeliness of submission as well as for content. Both offices maintain detailed wall charts showing for each project the date of the next reports to be submitted and the number of past due reports. The headquarters office routinely sends the Regional Offices a monthly status report on project reports. One Regional Representative felt this was unnecessary as it was redundant of regional records.

In the FPIA headquarters office, the project reports are reviewed by financial management, field operations, and technical staff for content. The major emphasis of these reviews concern: 1) project spending--are funds being expended at a rate and within the categories planned; 2) project operations--are project processes and progress toward the achievement of stated objectives consistent with project plans/ 3) technical review--are any aspects of the project indicative of a need for rethinking basic project premises or objectives and for the provision of technical assistance services.

Any items of concern identified in headquarters project monitoring are communicated to the Regional Representative for transmission to the project. In addition to the headquarters review, the Regional Representative will undertake a similar review of progress and financial reports. The Regional Representative review is enhanced by a greater familiarity with projects in the region (especially those in the country of residence) and a personal contact by the representative is often a quick and effective way for problems to be resolved.

Finally, and more important than the paper review of reports, project monitoring takes place in the field through the periodic visits of Regional staff to projects. Again, in the country of residence such contacts are most intense with contacts being made at the initiation of both regional and project staff.

E. Does FPIA respond quickly/adequately to correct administrative, logistic, technical or other project difficulties?

The major focus for attention to administrative, logistic, technical, and other project difficulties is in the FPIA Regional Offices. In discussions with Regional Representatives, project managers, and government officials, our impression is that FPIA's response to difficulties is invariably prompt and usually adequate. The hedge on adequacy comes from the fact that the most typical response is regional staff intervention, which in most cases is adequate to solve problems. In those cases where a specific technical skill from outside the organization is needed, FPIA has encountered some difficulty in providing such skills promptly, due to grant limitations.

F. Does FPIA ensure effective communication and coordination regarding project activities among relevant host country personnel, USAID Missions or U.S. Embassies, and other donors?

Based on observations in Bangladesh and the Philippines, FPIA maintains highly effective communication and coordination among all agencies involved in family planning and development work.

G. What are the bottlenecks, if any, to effective FPIA project management? What areas represent potential bottlenecks; i.e., in the event that FPIA should assume a larger budget and workload under future AID grants?

There are three areas which could become bottlenecks if FPIA assumed a larger budget and workload in the future. They are:

- (1) Project review. Although the processing and review of new and continuing projects has been improved and streamlined, a substantial increase in the number of projects received from the field could overload the new system and lead to some delays in processing. This may be avoided by the addition of staff at FPIA headquarters. As the number of projects being reviewed and monitored increases there is a real danger that the small, often one-shot project may not be developed. This is discussed in greater detail elsewhere in this report.
- (2) Commodity workload. As the number of agencies and the quantities of commodities involved in FPIA's commodity program increases, there is the possibility that local commodity activities may become overwhelmed. The central commodity operation in New York is a model of "systematization." The operation could double its workload with no appreciable loss of efficiency. The situation is somewhat different in the regions. Increased commodity workloads will have immediate implications. As the number of recipients increases, regional processing activities will have to be increased, and there is the likelihood also that this increase will come from that class of organizations with little, if any, experience in matters such as customs clearance and record keeping. This will impose additional workload on the Regional Offices.
- (3) Organization and staffing. The bottlenecks cited in (1) and (2) above are not the kind of bottlenecks that arise out of systems limitations. Rather, the systems developed by FPIA have been well-conceived and are being operated within the current organizational and staffing pattern of FPIA. It may be necessary, in the face of a larger future workload, to reorganize and to augment staff selectively.

V. COMMODITY AND LOGISTICS MANAGEMENT

A. How does FPIA determine contraceptive and/or equipment requirements for specific projects? For an annual assistance program?

This procedure is detailed in a memorandum (June 20, 1977) from Dr. D. Weintraub as follows:

"The commodity review process follows one or another of two different routes depending upon whether commodities have been ordered for an FPIA-funded project or for a non-FPIA-funded agency or institution:

- (a) FPIA-Funded project - Commodity review is an integral component of project proposal review. Project proposals are forwarded to FPIA/NY by the regional representatives and all projects requiring commodities are accompanied by a materials assistance form. The FPIA Procurement and Distribution Unit reviews the order form and the project document to ensure that all commodities requested are sufficient to carry out the project's objectives. Shipping instructions and shipping time also are reviewed to ensure that commodities will be on-hand when the project is implemented. In the case of special IEC requests, the review is expanded to include the Technical Services Unit. For special medical requests, Dr. Louise Tyrer is consulted.

If the agency previously has received FPIA commodities, the P & D Unit reviews past commodities distributed and whether the agency in question has previously acknowledged shipments.

- (b) Non-FPIA-funded agencies or institutions - These commodity requests generally are in response to the FPIA mass mailing, special commodity mailings and FPIA publications. There also is a significant amount of customer referral. Whatever the source of the order, the requestor is required to complete the mass mailing order form which includes a mini-survey. This document is sent by the requestor to the appropriate regional office where it undergoes review. In addition to reviewing the responses to the mini-survey, FPIA field representatives are able, should the agency be one to which we have shipped before, to review past commodities sent and a

brief profile of the requesting agency. In the case of large orders, the Field Representative may elect to carry out a site visit. Once reviewed (and approved), the mass mailing order form and a materials assistance request form are sent to FPIA/NY. The review in New York is similar to the one carried out for FPIA-funded projects with the exception that there is no project proposal involved."

It should be said that it appears likely that many non-funded agencies receive commodities without really careful review of individual needs and accuracy of disbursements. It appears that review is sporadic and often superficial. Nevertheless, the organizations involved are invariably legitimately involved in family planning and usually government supervised or coordinated. We believe the program should be continued but an improved reporting system developed, "on site" spot checks made more frequently (using local hire personnel if necessary), and inventories taken at least annually.

B. Does FPIA provide equipment and supplies in a timely fashion? Are commodity import arrangements in the recipient country anticipated to avoid loss or delay?

Projected requirements are anticipated for a year ahead as well as estimated less precisely for AID's bulk procurement cycle of two and one-half years.

Requests are processed quickly in New York and New Windsor, usually taking about two to three weeks for receipt of request in New York to shipment from the warehouse. This includes processing documents in New York, mailing to New Windsor, processing at the service center, and shipment.

Commodity import arrangements are usually made in advance to process shipments in foreign countries rapidly, but there are frequent occasions when shipments are delayed because port facilities are crowded, customs clearance is delayed, or other unexpected problems occur. Most shipments do arrive as scheduled. Damage and pilferage are other problems that are significant and which can delay shipments while adjustments or claims are made, but damage is not due to faulty packing or crating but rather to handling aboard ship or in foreign ports, and pilferage is problem that plagues all shippers.

c. Does FPIA effectively monitor shipments, distribution and condition? Does the monitoring system enable short-term adjustments in commodity (particularly contraceptive) supply situations? Are contraceptive storage, distribution and

resupply aspects of specific projects monitored? Reinforced if necessary? Does FPIA effectively monitor end-use of non-expendable supplies (medical equipment, A-V equipment, etc.?)

In general, FPIA headquarters does effectively monitor shipments and controls them effectively until receipt is acknowledged. Approximately 75 percent of such receipt acknowledgements are received. Most of the remaining shipments involve insurance claims, not one of which has been turned down. Until receipt is acknowledged, further shipments will not be sent.

Contraceptive storage, distribution and resupply of specific projects could be improved. Storage facilities are not included in the basic project proposal and the adequacy of such facilities should be a matter to be reviewed in the project proposal. Guidelines for storage and inventory control at projects would be useful and were requested in the field. Storage facilities or techniques at three locations in the Philippines were checked. At one the storeroom was locked and the key was not available. At a second, non-contraceptive supplies were stored under a recovery bed and in an adjacent unlocked locker. It was, however, unlikely that these supplies would be pilfered by the individuals using the room and the room was reportedly locked at night. In the third instance, the warehouse of Iglesia ni Cristo was not able to be visited because of time, but the controls utilized were analyzed and were airtight. It does not appear that FPIA effectively monitors the end-use of non-expendable supplies. Project personnel may, but inventories are not demanded by FPIA. If they were they would require spot checking by FPIA or independent auditors. Auditors are used to verify project funds; it would seem sound to insist on periodic inventories (at least in the annual project report), provide forms and guidance for inventory recording, and carry out audits as necessary. New audit guidelines implemented in the past few months include commodity audit for projects.

FPIA appears able to respond to short-term needs and adjustments (particularly contraceptive) in commodity supply shipments. As a non-governmental institution, it has flexibility to accept excess inventories from agencies that are oversupplied on a temporary basis, or to substitute these for needs in the future. FPIA is also able to lend supplies to others if emergencies exist and has frequently been of assistance in this way.

D. How is FPIA project support being supported (or thwarted) by other elements in the logistics/commodities system?

The General Services Administration (GSA), by virtue of its bidding system and time requirements, imposes an inflexibility in procurement that is common throughout the government. In addition, modifications desired after a contract is signed are extremely difficult to obtain, either by FPIA or by a con-

tractor with FPIA's concurrence. Finally, shipments not in accordance with the contract occur and while adjustments are invariably made to FPIA's satisfaction, they require additional time and effort because of the middleman role of GSA. Nevertheless, it should be stated that, given GSA's role in procurement, Mr. Murphy has found them generally helpful and willing to expedite shipments and solve problems as rapidly as possible. There are, perhaps, some shortcuts that may be made but Mr. Murphy is generally satisfied with GSA relations.

The Church World Service (CWS) is considered an asset since their representatives in many ports of the world clear shipments through the ports when destined for church organizations. Thus, some representatives can also be called on for help in non-church related logistics questions because of their contacts in foreign countries. And just as some church groups may need to borrow supplies from FPIA, the reverse may take place.

E. How well is the logistics function performed and supervised? Is the distribution center operating efficiently and are additional workloads being handled?

The supply and distribution function is also highly systematized and controlled. It is well-supervised by an experienced individual and there is little to criticize in this function. As in the financial area, the problems are caused primarily by distance and difficulties encountered in customs clearances, reporting by unsophisticated personnel, and communications breakdowns. Some improvements can be made and are being worked on, but such problems must be expected.

The CWS warehouse in New Windsor, Maryland is a first rate facility and well-run. Inventory shortage is miniscule at approximately \$100 on throughput of about \$2 million. The distribution center is about ten years old and is modern, clean and high and uses its "cube" efficiently. Two inside pits permit trucks to be unloaded with a high degree of security and, by providing protection in cold weather, increase productivity. The religious affiliations of most employees tend to make for honesty and hard work and this is accentuated by the rural milieu.

The warehouse itself is highly automated, using fork trucks and pallets to store goods on racks up to 30 feet. A new data processing system has recently been put in place and appears efficient, well programmed and able to absorb a considerable additional workload which would have taxed the prior manual stock card system. The system is geared to a complete inventory control operation by stock keeping unit, able to summarize promptly, to be interrogated via a terminal, to select merchandise on a first-in and first-out basis, and to pick orders based on picking sequence determined by location numbers.

The warehouse costs appear reasonable--even low--for the facility and services which include trucking when necessary to ports as far as New York or New Jersey. No opportunity to check total operating, freight and trucking costs was available and it would be useful to document these. We believe that total costs would be no lower if the warehouse were anywhere else. Inventory losses would almost certainly be higher and new working relationships would have to be established where excellent ones now exist.

There may be opportunities to reduce costs slightly, or at least offset the probable increases that are in the offing because of fuel costs, cost-of-living raises and data processing costs. One is to see if there are ways to allow CWS trucks to backhaul freight when returning from a trip instead of "deadheading." There may be ICC complications, but it should be explored. Secondly, the service center manager is sure that costs could be reduced if turnover of inventory were increased and space usage reduced. This, too, merits investigation although, as a service organization, FPIA's job is to maintain supplies at a safe level and to avoid stock-outs.

The warehouse manager is of the opinion that the facility can accommodate a doubling of the FPIA supply distribution, particularly if stock turnover is improved.

VI. TECHNICAL SERVICES

- A. Does FPIA retain on its permanent staff technical/professional personnel who can competently advise FPIA management on the various aspects of population programs - Medical, IE&C, Logistics, Social Behavior, Evaluation? In areas of "shallow" professional depth, does FPIA seek external, short-term assistance?

FPIA's permanent headquarters staff includes personnel who can and do provide a professional level of advice on Programming, IE&C, Logistics, Financial Management, Information Systems and Training. In addition, arrangements have been made for the professional medical involvement of the PPFA Medical Division in all projects and commodity requests with medical implications. In discussions with FPIA senior staff, and with the Director of the Medical Division of PPFA, this arrangement was characterized as satisfactory insofar as the general guidelines put out by the Medical Division were applicable to FPIA's program, and insofar as projects with immediate and obvious medical implications were flagged for the attention of the medical department.

We would like to point out that while this level of medical involvement is acceptable, it could be raised to include assimilation, integration, and dissemination of evolving practices in the complex area of service delivery.

For example, procedural differences were found in the three sterilization projects visited in the Philippines. While all met high medical standards, the differences which have evolved are interesting and potentially important in their implications for programs elsewhere. Another aspect looming up in the future is the question of primary health care and/or integrated care (health and family planning) in which several medical/health specialties should be involved. FPIA could provide innovative, creative medical input which goes beyond the excellent, but apparently limited or reactive, medical coverage now available.

Psychological counseling in the several sterilization projects visited is a major component. Psychological aspects of general contraceptive counseling, including marital communication and adjustment, and educational outreach to adolescents are also important. There is some question as to the capacity of FPIA to provide technical assistance in this realm without additional expertise.

The term "medical" is very broad. In family planning, the obstetrical and pharmacological areas of specialization predominate. But there is ample opportunity to develop pediatric, mental health, and public health aspects. For example, an

important study could be done of psychological and physical development of children in families of two or three where sterilization is chosen vs other forms of birth control. Marital health should also be evaluated. While FPIA is not in the research business, this might be an extension of outcome evaluation which would have strong implications for family planning in public health, primary care, educational, and mental health settings.

Both of the categories of "medical" and "social-behavior" might be strengthened. Again, this is not so that technical assistance may be handed down from "on high." On the contrary, in the field both medical sophistication and socio-cultural acumen are impressive. The question is, does the PPFA/FPIA headquarters staff have the resource people to appreciate and enhance these aspects of the program? To the extent that Dr. Tyrer and Ms. Minor are available, they unquestionably meet the challenge. But Dr. Tyrer is only part time, and Ms. Minor has major administrative and global program responsibilities. The desire to increase Third World membership in technical assistance might lead to staff increments in the medical, social science, and educational areas with experts from developing countries.

In general, the past 2 1/2 years have been marked by considerable progress in program evaluation including the development of a management by objectives approach to project planning, and a project management information system which enables FPIA to measure the extent to which projects are achieving their objectives. In addition, an evaluation manual has been drafted for use by projects (this manual will require extensive revisions in order to reflect the recent changes in project proposal and reporting formats).

There are three aspects of program evaluation which could be improved. They are:

- (1) Feedback to regions and projects. Most feedback from the project information system is in the form of cumulative totals and printouts of commodity lists. While they are important, we would stress the necessity for more analytical and interpretive feedback. For example, the SWARO periodically prepares analyses of the project and commodity printouts in order to know regional standing, standings of countries in the regions, standings of projects within countries by region, major items requested, trends of commodity requests, overtime, etc. Rather than pursue these analyses in the individual Regional Offices at considerable investment in time and labor it would seem reasonable that these analyses could be done by computer from the information maintained in New York.

Such analyses should include the development of indicators of performance; e.g., percent of target achievement by project, cost for new client by project, etc.

- (2) Design of specialized evaluation approaches. We believe that FPIA's capacity to design special evaluation approaches needs strengthening. To date, we know of only one such undertaking; the "end-use" survey currently being pursued by headquarters. This survey should be regarded as a pilot or pretest as more will be learned from it about conducting end-use surveys than about the end-use of FPIA commodities. The evaluation of the concerned Women's Project in Bangladesh is an example of a well-conceived and well-executed undertaking. This came about through the input of external consultants who were interested in and available to the project.
- (3) Technical assistance. FPIA has provided technical assistance to projects on evaluation from the following sources: regional representatives, headquarter technical staff, and external consultants. For the most part, this assistance has addressed the need to help projects to meet minimal evaluation requirements and, given the nature of many of the organizations with which FPIA deals, this is an appropriate area for assistance. There is, however, room in some cases to go beyond minimal requirements and FPIA has not done this.

Recent thinking at FPIA with regard to technical assistance is to develop a cadre of trained Third World consultants to provide technical assistance as needed and to reduce the need for consultants from the United States and other industrialized countries. The benefits should be less pressure for or on such personnel at FPIA or PPFA headquarters, lower costs for fees and transportation, and probably greater acceptance and rapport between advisors and advised. In some cases only expenses will be involved and the consultant's fee not required.

Examples of such cross-fertilization by trained personnel are:

- (1) The visit of Dr. Oblepias to Bangladesh to consult on training in the Model Sterilization Clinics project and to review the project sites to ensure the training received in the Philippines will be appropriate to the Bangladesh project.
- (2) The visit of Dr. M. Gabriel of INC to Thailand to study the techniques of commercial distribution of contraceptives.

- (3) The visit of Dr. C. Gabriel of INC to Mexico on sterilization procedures.

We enthusiastically support FPIA's efforts to develop rosters of Third World consultants and to employ them to provide technical assistance to sub-projects.

In summary, in the past 2 1/2 years FPIA has achieved notable improvement in evaluation by introducing planning by management by objectives; requiring reporting against objectives; assisting projects to plan and report; and developing an information system which provides up-to-date status on projects and commodities. The next steps should include: 1) more analytical and interpretive feedback to management, to regional representatives, and to projects to stimulate appropriate action, 2) more rigorous conduct of special studies and surveys, and 3) more attention to the evaluation opportunities of projects which can go beyond the minimal reporting and evaluation requirements set for all projects.

- B. Are FPIA professional technical resources appropriately utilized in project selection, review, monitoring and evaluation? Are they available to project directors for problem identification, problem solving?

The decentralization of most project development and technical assistance responsibilities as well as some project monitoring activities to the Regional Representatives has made professional technical resources available to project directors from the outset of project development through completion of a project. For the most part, direct technical advice comes from the Regional Offices of FPIA with selective participation from FPIA headquarters staff, and outside consultants.

In most instances technical assistance to projects is provided as a part of regional staff periodic contact with projects; i.e., as a part of project development and project monitoring.

Of particular interest is the use of technical resources from one FPIA supported project to provide assistance to another FPIA project. On an interregional basis, Dr. Oblepias of the Philippines will be visiting Bangladesh to assist in development of the medical schools model sterilization clinics. Intra-regionally, there is a possibility of using personnel from the Bangladesh Concerned Women's Project to assist other similar groups in Bangladesh to develop local family planning projects.

In several instances where a specialized technical resource (not available on the FPIA staff) was required, FPIA encountered some difficulty in responding promptly. In one instance, non-AID funds were used to move rapidly in providing a consultant to a project. A mechanism should be worked out to enable FPIA to respond promptly to requests for technical assistance (e.g., include consultant services in project budgets, include con-

sultant services in regional budgets, give FPIA headquarters authority to employ consultants up to a maximum number of days up to a dollar ceiling without prior approval).

- C. Does FPIA utilize its technical professional personnel to measure/evaluate the qualitative performance of project activities - technical competence of project personnel - ensure high standards of medical/clinical services?

In addition to the evaluation activities mentioned earlier, FPIA, through its regional representatives and through selected visits to projects by headquarters staff, closely monitors the qualitative aspects of project performance and project personnel.

An indirect means of monitoring the qualitative performance of project activities and personnel is via the policy and program guidelines and standards set by host country governments. Most FPIA supported projects are reviewed or at least noted by government coordinating bodies which often insure that the standards of the country are being met.

VII. ORGANIZATION AND STRUCTURE

A. Is PPFA/FPIA management structure organized to utilize most effectively professional/technical skills of FPIA staff?

FPIA is an organization whose history has been marked by constant change in organizational structure and turnover of professional staff. The time at which this evaluation took place was no exception--in fact, the evaluation team was presented with a proposal for new organization on the first day of discussion.

With each change in structure, certain improvements in operations have been made possible. While the current proposal is not likely to be the ultimate one, we do believe it represents a structure which reflects: 1) current programming, 2) currently available technical resources, and 3) recognition that certain gaps (not all gaps) in technical skills need to be filled.

The reorganization proposal calls for eliminating the position of Communications Specialist and creating two new Technical Assistant positions in the field operations unit--one for dealing with projects which emphasize use of auxiliaries and paraprofessionals and the other vacant for the time being. The first position reflects the expectation that more and more projects in the future will involve different varieties of community based or non-clinical distribution of contraceptives.

Another aspect of the proposed reorganization calls for abolition of the current position of Coordinator of Technical Services and creating a new position of Coordinator of Special Projects. We believe that abolition of the position is appropriate as most technical services are now being provided by or through the Director of Field Operations. We also endorse the establishment of the new position and, without entirely preempting the Director's use of the special assistant, we would propose at least two areas of responsibility. The first would be continuation of current IE&C inputs on project development, project review, project monitoring and providing technical advisory services to projects requiring IE&C input. the second area is evaluation. As noted earlier that while considerable progress has been made in developing the data base an/information system for evaluation, there is still a great deal of work to be done in developing an overall evaluation strategy for FPIA, and improving the analytical and interpretive quality of evaluation.

insert A

B. Are management and supervisory channels clearly defined? Are professional technical tasks and responsibilities defined and communicated to/understood by PPFA/FPIA staff?

There are two approaches to answering this question. At a mechanical level the boxes and the solid and dotted lines on the current and proposed organization charts are rational; functional statements and position descriptions are clear; methods and procedures (particularly as they have been developed for the new system) are appropriately detailed. At another level--that of personnel involvement, commitment and morale--there is even a greater sense of clarity of management and supervisory channels and of well-defined and well-understood tasks and responsibilities being performed by staff at all levels of FPIA. We were impressed, during the unit-by-unit presentations made during visit to FPIA headquarters, with the involvement of all staff at all levels in each unit--not only in the presentations, but also in the totality of the operations of each unit and of the operations of the FPIA program as a whole.

The quality of personal relationships is an intangible but vital factor in organizational function. The evaluators were impressed with the combination of stringent administrative control and cordial staff interaction in the New York office. In the regions an element of leadership was evident that was no less than inspired. The focus, of course, is on people, communities, visible programs--much more vivid than the computer and paper maze of the headquarters office. Nevertheless, the skills, the cultivation of relationships, the sense of devotion, drive, and charisma are as necessary for ultimate program success as the more tangible elements in the table of organization. It is heartening to see a generous measure of both formal and informal, statistical and "transcendent" organizational excellence in FPIA.

Further, while the Regional Offices visited were smaller units than FPIA headquarters, the same spirit of clear-cut responsibilities within the context of participation in the totality of required office activities was pervasive.

C. Are the "career ladders" available to PPFA/FPIA staff conducive to optimum utilization and development of manpower skills; e.g., is there any dysfunctional bias toward management, generalist or technical skills to the detriment of either?

There are several possibilities for career development in FPIA most of which tend to place a greater premium on population program management and generalist skills than on technical, specialist skills.

Under the present and proposed organization of FPIA there appear to be three discreet technical career ladders. These include financial management, logistics, and management information. People in positions in these lines are able to develop their skills in a professional manner and should be able to advance in their fields--if not within FPIA or PPFA then certainly in financial management, logistics or information systems in other organizations.

In field operations, entry may be based on either management generalist or specialist skills or on combination of the two, but advancement, particularly to the position of Regional Representative, requires a greater emphasis on program management and generalist skills rather than on any specific technical skill.

Career ladders are available to both technical and generalist staff of FPIA. At present and for the foreseeable future there is somewhat of a bias toward generalist skills. However, we do not regard this to be a dysfunctional bias; rather it is consistent with FPIA's program.

There is one further aspect of FPIA organization which must be raised in this discussion of career ladders--the opportunities for local hire regional staff to advance within the regional and overall organization of FPIA. Regional offices are presently small and one or two program assistants are typically employed. As FPIA's activities expand, it may be appropriate to consider new roles and new opportunities for local hire staff; e.g., rotation of assignments to FPIA headquarters, or establishing deputy and/or senior regional positions either in the same or a different country. FPIA should explore means to offer appropriate career development opportunities for local hire professional staff.

We have not been able to review technically the manner in which grade levels and compensation steps have been determined, but their existence is recognition of the "career ladders" and both appear reasonable and satisfactory.

D. Is there an explicit or generally observed implicit division of responsibility between PPFA/FPIA and the FPIA Regional Representative? Is this division of responsibility appropriate? Is the professional judgment of regional representatives observed during the FPIA project selection/review/monitoring process?

Rather than characterize the division of responsibility between headquarters and the field as implicit or explicit, it is appropriate to describe it as evolving--evolving to a point where as much as possible of project development, monitoring and assistance activities are decentralized and are the responsibility is retained in New York. We believe this

to be an appropriate assignment of responsibility which observes the professional judgment of FPIA staff at both headquarters and field levels.

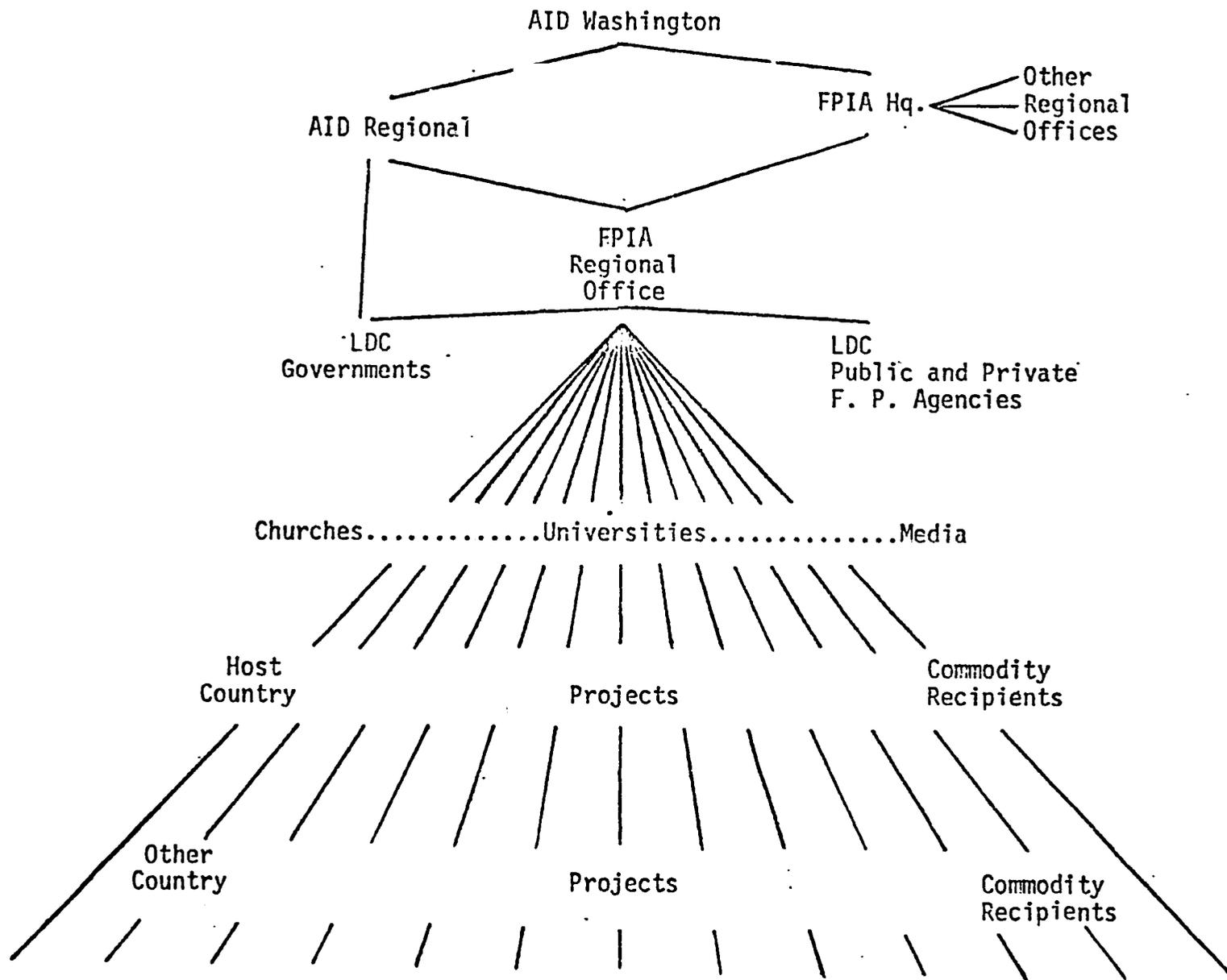
As new procedures are implemented it will be necessary to make sure they reflect the relative roles of headquarters and the Regions. For example, in Manila we saw a copy of a "dunning" letter from FPIA headquarters to a project director because the latter had not provided a certain bank form indicating that funds had been received. Carrie Lorenzana said that some banks do not use the forms that New York has come to expect. Some clarification is needed. Perhaps the regional office rather than the project should receive all "alarm" or "dunning" notices from headquarters.

Evidently a very small fraction of FPIA expenditures are absorbed by administration. Another way to express it is that administration appears to be both effective and cost-effective. At the regional level, too, the amounts spent for projects and commodities dwarf that spent for administration. The question was raised for us, and we raise it here, whether the administrative budget can be freed of certain constraints, giving the regions more autonomy. For instance, why specify the number and type of employees? Why not give latitude on part-time and short-term employees within the overall personnel budget?

In order to achieve this freedom, a high degree of trust and accountability already exists and must be maintained between headquarters and the regional offices. If regional objectives are spelled out so that performance evaluation is possible, then accountability and administrative options should both increase. Carrie Lorenzana prepared a book on regional plans and objectives for Project Year 5. She said it could be done each year if there were more staff (most urgently, a deputy level position). This book could be a useful model for MBO at the regional level.

As the following diagram indicates, the Regional Office is the center of kaleidoscopic dream (or nightmare). In addition to the standard job description for regional staff, it might be valuable to develop a "time and motion" formula or guide so that one could tell how much effort is going into ongoing vs new projects, and how much is going into site visiting, paper work (correspondence, files, proposal and background reading), meetings, etc. An occasional time-sampling of staff activity would suffice for internal regulation without becoming oppressive. It would also serve to validate and update percent of time estimates on job descriptions.

FAMILY PLANNING INTERNATIONAL ASSISTANCE
 A Schematic View From The Regional Office



E. With the increasing decentralization of responsibility to the regional offices, have appropriate mechanisms been developed to support field operations?

As mentioned elsewhere, the program support activities (logistics, financial management, project review and monitoring) have evolved into strong systems which effectively backstop field activities. In addition the channeling of and communication between headquarters and the field through the Director of Field Operations has made for more effective communications especially with the use of Telex and telephone.

There is a regular flow of reports between headquarters and the regions. When the new proposed review and reporting system is fully operative, we recommend that headquarters in consultation with the regional directors review the content and periodicity of all reports in order to eliminate items which are not useful and to ensure that needed information is available in a timely manner. It may be useful to circulate regional activity reports among all regional directors. Also the review recommended above might include examining the possibilities for increasing the face-to-face contacts among field staff. The Asian and African regions are geographically contiguous and travel to the boundaries of a region could be coordinated to enable regional directors to meet in the field.

Some personnel practices could be strengthened. As noted elsewhere, FPIA has an effective system of position descriptions and functional statements. There is, however, one exception. The Regional Representative in the Philippines total compensation package is out of line with the levels for other regional. This situation is not being mentioned for the first time and efforts have been made to correct the imbalance. We believe these efforts should continue.

Also, in discussions with SWARO representative, it was noted that the overseas benefits and allowances for Regional Representatives were not clear on matters such as: post allowances, differentials, transfer allowances, home leave, R&R leave, education allowances, medical benefits, etc. FPIA New York management assured us that a complete personnel practices manual covering these items is in the possession of each Regional Representative. FPIA should review communications in this area.

A final item in this section concerns the amount of the regional office revolving fund. Both Representatives visited felt that the current \$8,000. level was occasionally insufficient and suggested a level of \$10,000. would be appropriate. FPIA should examine the problems relating to the level of the fund

and the replenishment process to determine if any changes are needed in either. The level of advance should be monitored closely as the staff of the regional offices expand.

FPIA headquarters management presented detailed documentation showing the level of expenditures in each region and the turn-around time on replenishment vouchers. This evidence suggests that the \$8,000. level is adequate. However, we are concerned that it was not perceived as adequate in the field.

F. What is the appropriate title for FPIA regional directors?

Throughout our discussions with FPIA staff, indeed throughout the report, FPIA field staff have been referred to by various titles. The title of Field Representative or Regional Representative for the head of a Regional Office is not one that describes the position in any way and provides little in the way of the prestige that is so often of value when dealing with other organizations.

It is suggested that the title of Regional Director be used; e.g.,

Regional Director: East Asia
Regional Director: West Asia
Regional Director: Africa
Regional Director: Latin America

Alternatives that are satisfactory, but in our opinion, less valuable could be Regional Manager or Managing Director. Obviously, if regions are enlarged or cut down, the geographical designations may change.

G. Is FPIA staff sufficient in size, in scope of its professional competence? What, if any, areas of professional and/or support staffing should be considered for strengthening to enable FPIA to manage a larger program effectively?

The proposed new organization of FPIA provides a scope of professional competence appropriate to current, and likely future, program content. Depending on the nature of future program development, it may be necessary to add to, or change the nature of, the current scope of professional competence. For example, while the current arrangements for medical input are satisfactory for purposes of disseminating general medical guidelines, and for providing medical input to existing sterilization projects, any substantial increase in the size and/or nature of medical or medically related projects will require new arrangements.

Headquarters systems for commodities, financial management information and project review and reporting are in place or being installed. These systems will be improved and fine-tuned over time and they appear to be the kind of systems that can handle an increased workload without requiring major revisions other than the addition of support staff as workload increases.

The level of FPIA organization that would be most dramatically affected by an increased workload would be the regional offices. Increases in the numbers of projects and in the number of organizations receiving commodities may require both reorganization of regions or within regions and increase in the number of local hire program staff.

Consider the possibilities for SWARO. Mass mailings in all countries of the region with a response at the level obtained in Bangladesh might require employment of additional staff to review, monitor, and evaluate commodities and their use. Opening up of India with intensive project development may require a sub-office for India. Developing a mass of projects in the Middle East may suggest dividing the current region into two regions.

H. What is the relationship between PPFA and FPIA?

We had brief contact with the Acting President and Vice President of PPFA. Both were interested and supportive. We heard about the International Affairs Committee of the Board, which has the most direct oversight responsibility for FPIA, and other committees which in some ways relate to FPIA activities.

In the long run, and especially if there is trouble (as seemed momentarily to be the case with the Thailand Hill Tribes recently), the continued and increased involvement of the PPFA directorate and Board would certainly be an asset.

I. What is the current status of coordination between PPFA/
FPIA and IPPF?

In discussions with IPPF/London, PPFA/NY and FPIA/NY all agreed that Headquarters to Headquarters communication and coordination were at all-time highs. This was attributed to the institution of twice yearly meetings among the principal officers of the three agencies at which plans, activities, and problems are discussed.

Although there were some isolated examples of poor communications between IPPF regional and FPA staff and FPIA Regional Representatives, it was generally felt that field communications were satisfactory and improving.

Neither IPPF nor FPIA viewed themselves as being in competition. Both regarded the field as having ample opportunities for project development. Although FPIA is restricted from becoming involved in FPA programs, the one instance (Ethiopia) where this was invited was cited as an example of cooperation and complementarity.

VIII. MISCELLANEOUS ITEMS

- A. Do FPIA review and monitoring activities insure that grant-funded activities are characterized by their voluntarism and are free of any form of coercion?

Although the scope of this evaluation did not include detailed attention to projects and their processes, our impression from our review of headquarters and regional operations, and our brief visits to selected projects, is that projects are indeed characterized by voluntarism and are free from any form of coercion.

Eloquent testimony to the principle of voluntarism is found in the waiting rooms of the clinics offering sterilizations in Manila and elsewhere. It is true that extensive informational outreach is done, but consent is required of both spouses, and minimal parity of two is required (and in one program the second child must be least four years old). It is striking to see the number of young women waiting their turn, and to discover that many are only in their mid-twenties but have four or more children. When asked how the husband's consent is obtained when a woman has traveled 50 miles to reach the clinic, the project director said, "In this society a woman does not travel that far without her husband knowing where she is going."

The Philippine government now requires that all couples receiving their marriage license also receive family planning information. There is no coercion in terms of practice; the country is Catholic, but the 10 percent belonging to Iglesia ni Cristo hear birth control (including sterilization, but not abortion) advocated from the pulpit and from volunteer canvassers and for males especially, "machismo wreckers"--an appellation given to some of the outreach team. No less than astounding is the fact that Dr. Carolina Gabriel has performed several thousand vasectomies. Also remarkable is the fact that a large proportion of sterilization acceptors are Catholic, who are, of course, recruited from non-church settings.

- B. Have there been any important examples of FPIA failure to take an initiative? If so, how may such failures be avoided in the future?

In the limited time available for this evaluation we were not able to delve deeply into all project development activities and to discover instances and patterns of misdirected effort or opportunities foregone.

In discussions at the regional level, however, one particular area of project development was identified as problematical in the past. That is the area of small project development.

FPIA is able to deal effectively with straight commodity requests (both large and small) and with project development activities involving substantial program assistance and commodities. However, small scale project support has been a problem; i.e., the under \$5,000 project proposal or request for locally produced IE&C materials requires the same amount of development and review effort as a larger project. In two instances (Nepal--student rural activities and Bangladesh--Dedicated Women's Project) this circumstance deterred FPIA from pursuing promising project leads.

We strongly recommend that FPIA and AID explore approaches to facilitate prompt and effective response to small scale project opportunities. Numerous mechanisms may be employed to implement this recommendation including:

- 1) Establish a predetermined "discretionary" fund for Regional Representatives to use for small scale project development. The fund may be made available to support projects up to "x dollars" each and may be subject to an overall limit of such projects per region. In keeping with the thrust of FPIA decentralization it may also be appropriate to decentralize AID review of such small projects and have USAID Mission concurrence on small projects. Thus, such projects would not become a part of the New York-Washington initial review process.
- 2) Build into projects which have a potential for replication in a country specific objectives calling for establishment of similar projects with related groups. For example, use the Concerned Women's subproject as a vehicle for starting up similar projects with groups such as the Dedicated Women.
- 3) Explore the approaches being used by other AID grantees for exploring small scale project development opportunities (e.g., Asia Foundation).

During the past year FPIA has raised about \$250,000. in non-AID funds which have been used to provide some of the needed flexibility. We would urge that some funds under the AID grant be made available for more flexible responses to small scale projects. The emphasis in this section has been on small scale projects. It is not our intention that more projects will predominate in FPIA's portfolio. We do, however, feel that some small projects are of potential importance and we would like to see them developed outside of the documentation, review, and approval processes used for large projects.

C. Are there any examples of outstanding successes?

Again, since the scope of this evaluation does not permit a detailed review of FPIA supported projects, it is difficult to respond comprehensively to this question. The individual project site visit reports prepared during the second evaluation reflect the successes of the various projects in the FPIA portfolio. During the course of this evaluation one particular FPIA activity is worth singling out for special notice--the mass-mailing approach used in the SWARO for promoting commodity requests.

The Regional Representative obtained from the central government of Bangladesh a listing of all voluntary agencies registered with the government. Nearly 3,000 agencies were listed and a circular letter was sent to them informing them of FPIA's ability to provide contraceptives to agencies with family planning programs. Some 300 agencies responded with requests ranging from 600-6600 cycles of pills and 40-10,000 gross condoms. These requests were reviewed and processed and dispatched to Bangladesh in four shipments, two which have been received and distributed and two which are en route. The regional office is monitoring receipt of the commodities by the requesting agencies and is initiating simple reporting systems for these agencies to use in accounting for the distribution of the contraceptives.

A similar mass-mailing program has been designed for Pakistan and eventually all countries in the region will be covered. We believe this effort is an outstanding example of FPIA promotional activity which should be undertaken in all countries in which FPIA operates.

In the East Asia Regional office three outstanding successes come to mind. One, involving several major projects and a fine coordinating effort with the government's Population Commission, has made sterilization a practical, safe, and much sought-after means of family limitation. Another, probably less replicable, involves the work of Paul Lewis, an anthropologist working with the Hill Tribes in Thailand. A third notable idea, whose success remains to be tested (but the excellence of the idea is obvious), involves a workshop designed to elicit project ideas, have the group select the best of these, then have a follow-up workshop on management training for the elected project leaders, and start funding immediately. Thus, local input leads to projects chosen by a unique process of self-determination, and leadership in the management area is developed in the most practical context.

D. Is FPIA an entity unto itself or is it a thinly disguised conduit for AID commodities?

There is no doubt on the part of most project grantees and commodity recipients that the funds and commodities provided by FPIA are a source of AID. Nevertheless, there is also the clear impression that in dealing with FPIA they are not dealing with an arm of AID but with an autonomous agency with a unique program.

An important reason for this impression is FPIA's approach to project development--innovative projects with groups which are for the most part outside of the mainstream of conventional health and family organizations. As noted elsewhere, we believe that FPIA can comfortably and effectively deal with increased workloads. At this point we would like to urge that any workload increases should emphasize provision for increased project activity and not be limited to the commodity distribution activities of FPIA. We believe this is essential to maintaining the independent posture of FPIA.

E. Are the lessons learned from FPIA supported projects and other regional office initiatives applied throughout FPIA's programming?

For the most part the lessons learned in the field are effectively incorporated into new FPIA programming. There are, however, some examples where more could be done. The SWARO initiative on mass mailing should be picked up and instituted in other regions. Information about experience with different approaches to sterilization in FPIA supported projects should be analyzed and disseminated, especially for Regional Directors and project directors. The experience with effective inventory and Service Statistics systems in subprojects should be made available to all FPIA supported projects.

F. What problems and suggestions were reported by project directors?

1. Most projects reported that supplies were often at inadequate levels. This was particularly true of drugs in sterilization projects. Since controlled drugs cannot be bought with FPIA funds in the developing country, two projects that use the laparoscopy technique reported continuing problems in obtaining Demerol and Valium. Another project at INC is oriented to the minilap technique and uses little Demerol and Valium. But local anaesthetics, particularly Lidocaine are used and there is need for supplies of these.

At Mary Johnston Hospital, it was reported that gloves, sponges and linen "drapes" were in short supply and were being reused after washing and sterilizing. In this case,

if the supplies are medically safe, their reuse should be encouraged and repeated elsewhere. If not, there is need to review the inventory requirements for these commodities.

2. In many developing countries, large areas of the country are without electric power. The provision of a portable generator would make it possible to continue activities that require power (such as sterilization) at night by mobile or outreach medical teams. Frequently productivity could be increased by 30 to 40 percent by enabling work to be done with waiting patients until 10:00 p.m. or later. In many cases these teams cannot start until after mothers have taken children to school and done their shopping and chores. Thus, the additional time would be most valuable as well as providing a safety backup where there is power but which may fail.
3. Iglesia ni Cristo would like to train five doctors from distant areas to do minilaps. If successful, after returning to their homes, 45 more could be so trained. These men and women could provide the service at a fee or without charge, depending on their practice and the community needs. Similar training need not be limited to INC.
4. INC is beginning to make inroads as a religion in Thailand and Papua New Guinea. Thailand may or may not need physicians trained in sterilization but it seems sound to incorporate family planning and to train native P.N.G. physicians in sterilization techniques at an early stage of the development of the church. INC would welcome assistance in such training.
5. Training of doctors or paramedics primarily require funds for travel and living expenses. Such funds are apparently in short supply.
6. INC reports no problems in keeping financial or administrative records except the client personnel data required by FPIA and the Population Commission. This is reported to be a heavy burden in the context of a declining budget.
7. Vehicle upkeep was cited in two instances. Traffic in Manila is as difficult as any major city anywhere and the rural roads are poorly maintained. During the rainy season, mud roads and ruts are the rule. As a result, damage is frequent and spare parts needed but unavailable.

The problem is not unique to the Philippines or FPIA. It plagues AID in most bilateral areas. It is a real problem, however, and needs review.

EVALUATION SCOPE AND GUIDELINES
PLANNED PARENTHOOD FEDERATION OF AMERICA/
FAMILY PLANNING INTERNATIONAL ASSISTANCE

I. BACKGROUND

The purpose of the Evaluation will be to obtain an independent assessment of PPFA/FPIA performance since February 1975, including ten months of program activity under grant AID/csd-3289, and 18 months of program activity under the successor and current grant AID/pha-G-1131. The focus of this evaluation will be on PPFA/FPIA management, administration and operations, and on technical/advisory support services exercised by PPFA/FPIA to achieve the objectives of the AID grants. (Whereas the goals, purposes and general terms of the two grants are similar, subsequent references to the "grant" will refer to the current grant, No. AID/pha-G-1131.)

PPFA/FPIA operations under the two grants have been evaluated twice. The first evaluation, conducted in Jan-March 1973, covered the first 18 months of Grant operations. The major focus of that evaluation was PPFA/FPIA organization and management, with only peripheral attention given to overseas project activities. When that first evaluation was being conducted, many FPIA-assisted project activities overseas had only been underway for a few months and could not yet be expected to show significant results. The first evaluation did, however, contribute to relatively dramatic restructuring of FPIA management with consequent changes in the organization's personnel and operating procedures.

The second evaluation of FPIA, submitted in February 1975, reversed the concentration of the first evaluation by focusing on an assessment of FPIA-assisted projects overseas. The evaluation team visited 39 field projects in 14 countries. These projects represented approximately 85 percent of FPIA project funding through August 1974, and about 90 percent of FPIA's project funding for the then-current program year (FY 1975). The second evaluation did, however, observe and offer recommendations toward improvement of some aspects of FPIA organization and management.

Primary attention of this third evaluation should again be given to PPFA/FPIA organization, structure, management, administration and project support. Reasons for this repeated concentration include:

(a) It is, practically speaking, too soon to conduct a reassessment of FPIA-assisted field projects. The number of projects has increased in the last two years; but the field activities reviewed two years ago are still representative of FPIA's current project "portfolio".

(b) FPIA management and operational structure/procedures have, on the other hand, changed significantly over the past four years - to the extent that the current FPIA component of PPFA is a quite different organization from that evaluated in 1973.

(c) Finally, an increasing number of LDC organizations are expressing interest in population activities, with growing interest particularly in the areas of adolescent fertility, women's participation in population programs, and initiation/expansion of voluntary sterilization activities. The actual task confronting FPIA is, therefore, increasing in size and scope -- commensurate implications for FPIA's budget, and demands on the organization's management and technical skills. As a primary donor to FPIA's potentially expanded activities, AID seeks an assessment of the extent to which FPIA is effectively poised to respond to these new demands.

The grant agreement (Attachment A) between AID and PPFA describes the purpose of the grant (page 1, Section A) and the specific objectives of the grant (page 1, Section B). The purpose of this evaluation is to observe the function of PPFA/FPIA management and operations insofar as these factors contribute to the achievement of grant objectives; and to recommend to PPFA/FPIA and AID means by which these factors can be improved or altered to facilitate attainment of grant objectives.

II. SCOPE OF THE EVALUATION

As noted above, the thrust of this evaluation will be on PPFA/FPIA management, organization and structure. The general direction of the evaluation team should be toward an assessment of how these factors ensure or limit (1) maximum effectiveness of grant resources (inputs) without hindering or obstructing project action; (2) FPIA accountability for project inputs and outputs; (3) consideration of alternative approaches to project support; (4) employment of effective management "systems" and procedures; and (5) utilization of administrative, professional and technical skills of FPIA staff.

Attention should also be given to the "absorptive capacity" of PPFA/FPIA, e.g., are PPFA/FPIA staff and management systems appropriate to the current workload? Are they sufficiently flexible to handle increased throughput of subgrant activities?

Finally, the evaluation should examine the project review and monitoring practices employed by PPFA/FPIA to ensure that grant-funded population activities are characterized by their voluntarism, and are free of any form of force or coercion.

Illustrative questions to be posed by the evaluation team may include, but not necessarily be limited to, the following:

A. Project Management

1. How does FPIA identify project opportunities? Does the legitimate "promotive" role of FPIA allow sufficient exercise of host country or local organization initiative?

2. Does FPIA maintain a system or procedures to screen or rank order project proposals? Are the ranking criteria appropriate? Does FPIA amend or negotiate changes in project proposals in collaboration with potential subgrantees?

3. Does FPIA provide adequate assistance to potential subgrantees in project planning and design, and in establishment of project administrative, reporting and evaluative procedures?

4. Does FPIA adequately monitor its projects to provide administrative or technical support as needed? to ensure proper use of resources provided to subgrantees? to identify current or potential problem areas?

5. Does FPIA respond quickly/adequately to correct administrative, logistic, technical or other project difficulties?

6. Does FPIA ensure effective communication and coordination re: project activities among relevant host country personnel, USAID Missions or U.S. Embassies, other donors?

7. What are the bottlenecks, if any, to effective FPIA project management? What areas represent potential bottlenecks, i.e., in the event that FPIA should assume a larger budget and workload under future A.I.D grants?

B. Commodity and Logistics Management

1. How does FPIA determine contraceptive and/or equipment requirements for specific projects? for an annual assistance program?

2. Does FPIA provide equipment and supplies in a timely fashion? Are commodity import arrangements in the recipient country anticipated to avoid loss or delays?

3. Does FPIA effectively monitor commodity shipments, distribution and condition? Does the monitoring system enable short-term adjustments in commodity (particularly contraceptive) supply situations?

--Are contraceptive storage, distribution and resupply aspects of specific projects monitored? reinforced if necessary?

--Does FPIA effectively monitor end-use of non-expendable supplies (medical equipment, A-V equipment, etc.)?

4. How is FPIA project support being supported (or thwarted) by links to other elements in the logistics/commodities system, i.e., GSA? Brethren Service Center, CWS representatives in recipient countries?

C. Technical Services

1. Does FPIA retain on its permanent staff technical/professional personnel who can competently advise FPIA management on the various aspects of population programs - medical?

IE&C? Logistics? social behavior? evaluation? In areas of "shallow" professional depth, does FPIA seek external, short-term assistance?

2. Are FPIA professional technical resources appropriately utilized in project selection, review, monitoring and evaluation? Are they available to project directors for problem identification, problem solving?

3. Does FPIA utilize its technical professional personnel to measure/evaluate the qualitative performance of project activities? technical competence of project personnel? ensure high standards of medical/clinical services?

D. Organization and Structure

1. Is PPFA/FPIA management structure organized to most effectively utilize professional/technical skills of FPIA staff?

2. Are management and supervisory channels clearly defined? Are professional technical tasks and responsibilities defined and communicated to/understood by PPFA/FPIA staff?

3. Are the "career ladders" available to PPFA/FPIA staff conducive to optimum utilization and development of manpower skills, e.g., is there any dysfunctional "bias" toward management/generalist or technical skills to the detriment of either?

4. Is there an explicit or generally-observed implicit division of responsibility between PPFA/FPIA and the FPIA Regional Representative? Is this division of responsibility appropriate? Is the professional judgment of regional representatives observed during the FPIA project selection/review/monitoring process?

5. Is FPIA staff sufficient in size, in scope of its professional competence? What, if any, areas of professional and/or support staffing should be considered for strengthening to enable FPIA to effectively manage a larger program?

These questions are intended to be illustrative of the general direction required of the evaluation, rather than as a "checklist" for the evaluation team.

III. EVALUATION SCHEDULE

1) The evaluation team will assemble initially at AID, Office of Population, Room 216, Rosslyn Plaza East, on June 3, 1977, at approximately 9:30 a.m. to review the scope of work and to prepare a detailed work plan for the evaluation. This review and preparation session will be conducted with the AID project manager for PPFA/FPIA, the Director of the Office of Population Family Planning Services Division (PHA/POP/FPSD) and the Evaluation Officer, PHA/POP/PROG. Members of the evaluation team may

also wish to interview other relevant staff of the AID Office of Population including the Director, Deputy Director, and the Chiefs of the Regional Divisions for Latin America, Africa, and Asia.

2) During the week June 6-10, the team will meet in the PFFA/FPIA headquarters in New York. The team will interview officers and staff of PFFA/FPIA, review program and project documents and records as appropriate; and consult with the officers of Church World Service (CWS). One member of the evaluation team may also visit Brethren Service Center/New Windsor warehouse in New Windsor, Md., to examine FPIA commodity storage, accounting and distribution procedures.

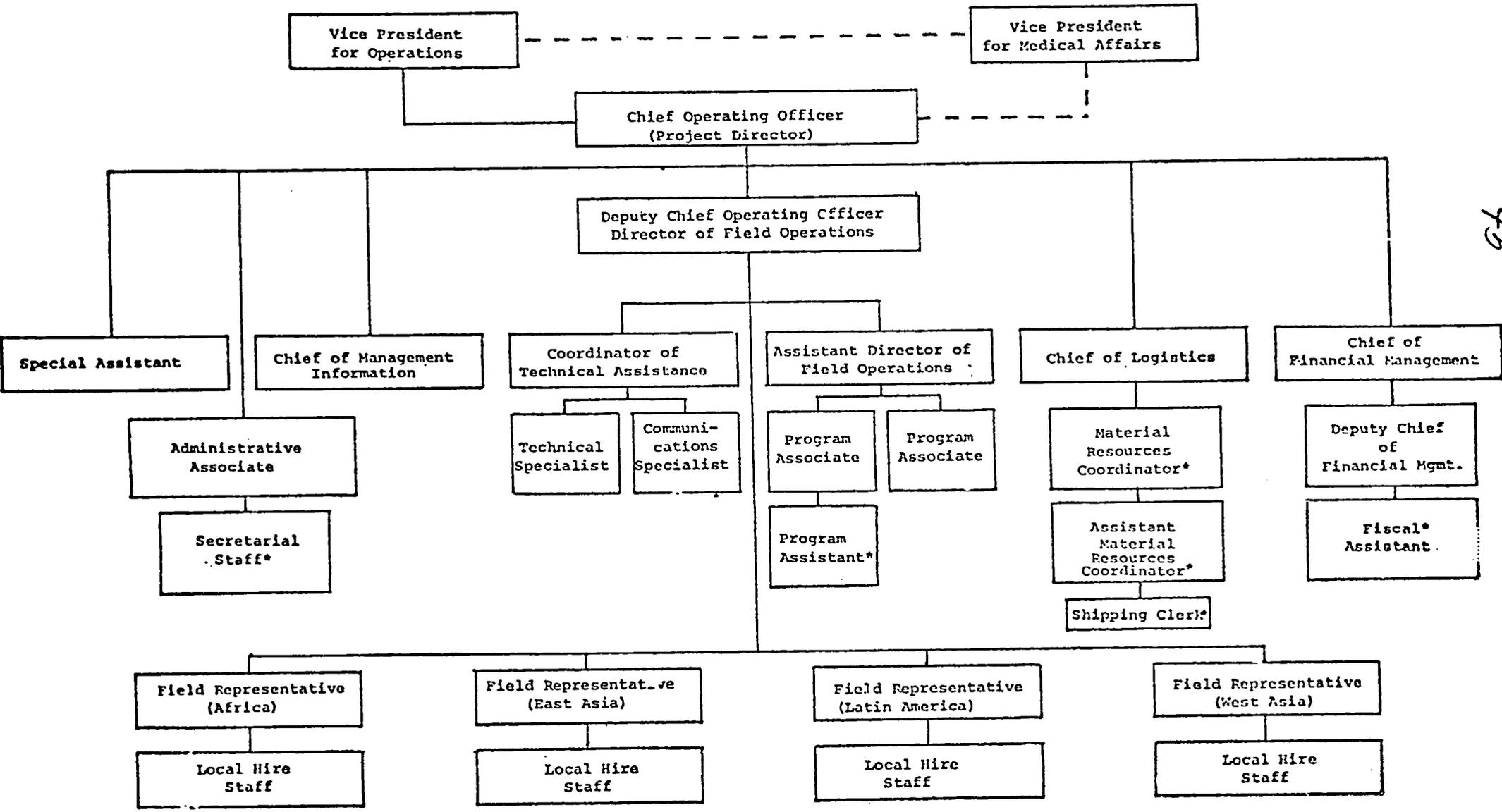
3) The following week (June 13-17), individual team members will visit FPIA regional offices in Manila and Dacca. Team members will observe regional office operations, interview FPIA regional representatives and office staff; consult with other-donor representatives including IPPF affiliates, USAID Missions, host government officials; and time permitting, a selection of FPIA project personnel in Bangladesh and the Philippines. Other discussions in-country can take place at the judgment of the evaluation team and/or as suggested by their conferees.

4) During homeward travel the evaluation team leader should visit London for consultation with officers of IPPF re: the PFFA/FPIA-IPPF relationship.

5) The evaluation team shall reassemble June 22-24 to prepare a draft of the evaluation report. This draft report shall be presented to APHA and to the AID Project Manager on June 27, and on that day the team shall present an oral presentation of the report to APHA and relevant AID staff at the AID Office of Population. Following this oral presentation, evaluation team leader shall undertake to prepare the draft report as a final submission. This report should be forwarded to APHA by July 8, 1977.

ORGANIZATION CHART
 Family Planning International Assistance
 (June 1977)

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*Support Staff/New York
 **Being changed as described in text.

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SUPPLEMENT TO EVALUATION OF FPIA
MARTIN GOROSH, DR. P.H.

During the period 17-19 July, I had the opportunity to meet several times with Mr. Len Robinson and Mr. Marc Okunnu of FPIA's Africa Office and Mr. Tom Lyons, Population Officer, USAID, Kenya.

The scope of the meetings was limited as: 1) the FPIA Office had recently been shifted from Accra to Nairobi (files and working papers had not yet arrived), and 2) time did not permit in-depth discussions or visits to field projects.

Observations and discussions of FPIA's Africa Office did not lead to any new findings and recommendations. Much of the earlier report, however, is further supported by Africa impressions.

Major observations include:

1. Regional Representative

The Regional Representative is held in high esteem by the USAID Population Officer. He is characterized as a hard-working, energetic, responsive, creative worker who has developed an impressive number of good high-level contacts.

2. Coordination

Relations with USAID, IPPF Regional Office, FPAK and grantees are all excellent. Coordination with the IPPF Regional Office should be even more effective with FPIA located in Nairobi.

3. Discretionary Authority

The concern voiced in East and West Asia was also raised in Africa; i.e., the need for some type of flexibility to fund small scale short duration projects with something less than full-scale large project type documentation.

4. Procedures

Although files were not yet in place, the systems

used for project development, monitoring, and reporting and for commodities management were described and appeared to be effective.

5. Staffing

The current Program Assistant is involved in all aspects of project development, implementation, monitoring, reporting and in some aspects of technical assistance. In addition the P.A. also administers the commodity program. Plans call for the arrival of a second P.A. with workload divided into East and West African areas of responsibility.

With two program officers, staffing on the program side is adequate. There is still some need for an office manager/of the office's activities. Provision is needed for delegation of some of the representative's sign-off authority. Robinson finds it difficult to have to schedule the first and last week of each month at the office. There is room for either a senior program officer level or deputy representative position, both of which would improve "career laddering" for Regional Office.

For the most part local hire Regional Office personnel have been nationals. In such cases use of existing compensation guidelines for local hire personnel was appropriate. This may create some problems in Nairobi as one P.A. is Ghanaian-Nigerian and the other is Ethiopian. As local hire workers they do not qualify for the U.S. salary levels and as third country nationals they will require more than local hire Kenyans who have a well-developed set of local coping mechanisms.

6. Communications Among R/Os

Mr. Robinson did not know of Drexler's mass mailing approach. Improved communications is needed among regional offices.

7. Technical Assistance and Evaluation

We reviewed Regional Office, and headquarter external technical assistance to and evaluation of projects, without examining the content of these contacts and without being familiar with the projects, it is possible only to note that the volume of these contacts suggests a high level of input. Moving the office to Nairobi presents an excellent opportunity for FPIA to implement its policy of use of locally available consultants. In Nairobi there is a rich variety of consultants, both Third World and others. The recent establishment of a Population Studies and Research Center at the University of Nairobi is an example of the type of resource available in Nairobi.