



**AMERICAN PUBLIC HEALTH ASSOCIATION**  
International Health Programs  
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OPERATIONS RESEARCH IN FAMILY PLANNING:  
AN EVALUATION OF CONTRACT AID/DSPE-C-0055,  
THE JOHNS HOPKINS UNIVERSITY

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## ABBREVIATIONS

|         |   |
|---------|---|
| AID     | Agency for International Development  |
| AID/POP | Office of Population, Agency for International Developme                          |
| AID/W   | Agency for International Development, Washington                                  |
| APHA    | American Public Health Association  |
| AUC     | American University of Cairo  |
| CBD     | Community-Based Distribution  |
| CBZO    | Baptist Community for West Zaire  |
| COB     | Close of Business   |
| CTO     | Cognizant Technical Officer   |
| FP      | Family Planning   |
| IEC     | Information, Education, and Communication   |
| JHU     | Johns Hopkins University  |
| JHPIEGO | Johns Hopkins Program for International Education in<br>Gynecology and Obstetrics |
| KAP     | Knowledge, Attitude, and Practice   |
| LDC     | Less Developed Country  |
| MCH     | Maternal and Child Health   |
| OR      | Operations Research   |
| PAHO    | Pan American Health Organization  |
| PIP     | Population Information Program  |
| p/m     | Person-Month  |
| POP     | Population  |
| RFP     | Request for Proposals   |
| RTI     | Research Triangle Institute   |

TA            Technical Assistance  
USAID        United States Agency for International Development  
WHO         World Health Organization

I. TERMS OF REFERENCE AND PROCEDURES FOR EVALUATION

## I. TERMS OF REFERENCE AND PROCEDURES FOR EVALUATION

In late November 1981, at the request of the American Public Health Association (APHA), Jeremiah Norris and John F. Marshall agreed to do an evaluation of Contract Number AID/DSPE-C-0055 with The Johns Hopkins University (JHU). The three-year, \$2.8 million Agency for International Development (AID) contract, signed in September 1979, called for the preparation of documents, the provision of technical assistance (TA), and the dissemination of information by the University's Department of Population Dynamics and the School of Hygiene and Public Health.

The purpose of the review was "to evaluate the work performed under the contract by comparing the achievements with the statement of work in the contract." The evaluation team also was asked "to recommend which, if any, activities should be pursued in the future if funds are available."

During the first two weeks of December 1981, the evaluation team worked in Washington, D.C., and Baltimore, Maryland, conducting interviews (see Appendix A for a list of the staff at JHU and AID/W who were interviewed) and reading documents. At both AID/W and JHU, the staff cooperated fully with the evaluation, and all relevant reports, letters, memoranda, etc., were made available for inspection. However, special requests at JHU for additional detailed information on contract expenditures were neither promptly nor fully met.

On December 8, 1981, the evaluation team asked for comments on a "draft outline" for its proposed report; both AID and JHU agreed to the outline, with a few minor changes. On December 14, at an informal session at the APHA's headquarters in Washington, the evaluators made a preliminary presentation of their tentative findings and distributed a first draft of their report. This meeting was attended by staff from AID/W (J. Bailey, J. Clinton, D. Gillespie, and J.J. Speidel); Johns Hopkins University (J. Kantner, R. Osborn, and W. Reinke); and the APHA (S. Brems, B. Karlin, M. Seidman, and W. Stinson). Following a frank exchange of views, AID/W and JHU submitted to the APHA written comments on and corrections of the draft report. AID/W subsequently prepared an additional response to JHU's comments. The evaluation team used its discretion, as well as heeded suggestions from the APHA, in incorporating the occasionally contradictory comments of AID/W and JHU into this final report.

The contract specified that JHU was to undertake as the initial task the Comprehensive Review. The evaluation team recommended to AID and JHU that a written questionnaire about the Comprehensive Review be issued to the intended audience. This was felt to be necessary because the two team members did not believe that they fully represented that audience, and that, as a consequence, their comments might be inappropriate. AID and JHU approved the idea of a questionnaire; they also agreed that members of the AID/W staff who were on the distribution list should be

contacted personally for their observations. The questionnaire was prepared, with inputs from AID and JHU, and sent to the field on February 24, 1982. (The analysis of that questionnaire will be appended to this report at a later date.)

Several AID/W staff on the distribution list were called and interviews were requested. Although each person remembered having received the Review approximately four months earlier, none had read it or felt sufficiently informed about its substantive content to sit for an interview. The evaluators did not feel that it was productive to pursue the personal interview approach any further.

In addition to numerous letters, memos, and notes for the record at AID/W/P and JHU, the evaluation team read the following:

- the Comprehensive Review;
- the AID/W and JHU contract, dated September 28, 1979;
- the Brazil subcontract;
- quarterly reports;
- all available trip reports;
- material prepared for the two workshops (excluding the background papers);
- the strategy paper;
- the series of Population Reports on oral rehydration therapy (November-December 1980);
- the draft paper on information, education, and communication (IEC);
- parts of several summaries of operations research (OR) projects in the JHU library; and
- a report by the Population Information Program (PIP), "Community-Based and Commercial Contraception Distribution: An Inventory and Appraisal," Series J, No. 19, March 1978.

The evaluation team focused its attention on contract performance, as stipulated in the APHA contract, and not on a content analysis of the materials produced by JHU during the period October 1, 1979 - November 30, 1981. This limited focus unintentionally highlighted JHU's untimely compliance with deadlines mutually agreed to in the contract, making it

impossible to give due credit, where it might well be applicable, to the substance of the documents which were produced by JHU.

In addition to the Comprehensive Review and those documents listed above, two "issue papers" were made available for review by the evaluation team. One, on cost-effectiveness, was a draft and was not reviewed; the second, on health interventions, was given to the team at the close of business (COB) during its last day of interviews at JHU (December 8). This paper was not reviewed in detail for two reasons. One, it was completed after the November 30 cutoff date, which set the parameters for this evaluation. Two, the evaluation team was not invited to participate in the workshop where the paper was presented on January 14, 1982. Such participation would have allowed the team to interview participants and provide to JHU and AID/W constructive feedback from members of the intended audience.

## II. BACKGROUND

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The last 12 years have seen a dramatic increase in the availability of family planning (FP) services in developing countries, largely because of strong support from AID for this activity. The strengthening of family planning programs reflects the belief that fertility reduction depends on an increase in the prevalence of contraception (or other means to prevent births, such as voluntary sterilization). Furthermore, because early knowledge, attitude, and practice (KAP) studies indicated that many women in less developed countries (LDCs) did not want more children, AID's policy has been to stress availability as the key component of any effort to bring about a rapid decline in fertility.

Family planning service delivery systems assume many forms. For example, in Nepal a junior auxiliary health worker delivers contraceptives house-to-house as part of an integrated health and family planning system. In Korea, fieldworkers work exclusively to recruit and maintain contraceptive users. In the Philippines, contraceptives are available at village supply depots. Many countries are implementing a comparatively recent innovation (these efforts began before issuance of this contract in September 1979): the community-based distribution (CBD) system. The essential features of this system are saturation of a community with oral contraceptives (OCs) through, for example, a canvass of every household and free distribution of oral contraceptives and, perhaps, simple medicines; and careful attention to the resupply mechanism, with easy availability of contraceptives through lay workers, village supply depots, etc.

Researchers have investigated these alternative organizational strategies and have explored the particular techniques that, within each broadly conceived plan for service delivery, enhance the effectiveness and efficiency of the overall system. The particular focus and concern of the AID contract with JHU in 1979 were the operations research activities of AID's Office of Population (AID/POP). In combining research review and development activities with technical assistance in the field, AID sought an appropriate balance between emphasis on evaluative research and emphasis on facilitating program and project improvement. It was intended that these emphases would complement each other. Moreover, it was felt that a pragmatic approach to the overall task could help meet the short-term needs of the field to improve family planning service delivery and the long-term needs of the Agency as a whole to enhance both the knowledge base for improved family planning programming and the capacity to transfer research technology to action agencies in LDCs.

In August 1979, AID published a notice in the Commerce Business Daily, and several firms responded to the Request for Proposals (RFPs) to "provide services in family planning operations research." The Johns

Hopkins University was selected in the competitive process. It signed a three-year contract with AID on September 28, 1979, and began work on October 1.

### III. PERFORMANCE OF TASKS

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Under the terms of the contract, JHU was to provide support for the improvement of family planning services in developing countries through the systematic study and objective assessment of intensive family planning service delivery systems established in LDC settings. In pursuit of the overall goal, JHU agreed to perform the following tasks:

- Conduct a comprehensive review and analysis of experience gained through AID and related family planning operations research projects.
- Prepare a series of "issue papers" on specific, unresolved issues requiring further research.
- Provide technical assistance to USAID missions and LDC organizations for ongoing projects and programs, as well as for the development and implementation of forthcoming research protocols.
- Provide assistance in information dissemination to ensure the prompt, widespread dissemination of project findings to facilitate application elsewhere.

In this chapter, each of the contracted tasks is discussed in terms of the purpose of this evaluation, namely, "to evaluate the work performed under the contract by comparing achievements with the statement of work." The statement of work which appeared in the original contract is attached as Appendix B. A flowchart indicating major events for each of the four tasks during the 36 months of the contract under review is attached as Appendix C.

To date, overall performance on the contract has been uneven. JHU experienced many start-up difficulties during the first year, particularly with the Comprehensive Review. The delay in meeting the specified delivery date of the Review delayed the workshops and the strategy and issue papers; AID had to alter its expectations accordingly for the remainder of the contract. JHU's technical assistance to USAID missions was timely, professional, and of high quality. The first workshop on cost-effectiveness was highly satisfactory to AID/W.

#### Comprehensive Review

The statement of work in the contract stipulated that JHU would provide a comprehensive review of operations research projects in family

planning, initiated with the assistance of AID or other international organizations, as well as projects undertaken directly by host governments. The timetable for the delivery of this product to AID was set at six months from the date of contract signature, or March 21, 1980.

During the first 18 months of the contract, JHU completed some 100 separate trips to AID/POP, nearly all to review the files on operations research and to begin the documentation process. Although the Comprehensive Review was not completed on schedule, AID and JHU did agree on a 90-day extension.

The first draft of the Review was delivered to AID/W by mid-July 1980. AID formally responded on October 16, providing a written critique of two of the nine sections. AID's contract monitor personally went through the draft, page by page, with JHU staff for the better part of a day. AID/W requested substantial revisions. JHU responded that a second draft would be ready by mid-December; however, the new draft was not delivered to AID/W until January 9, 1981, after much prodding by the Agency.

Again, although to a lesser extent, AID expressed its discontent with the product, but it suggested to JHU that it go ahead and publish the document if it felt professionally comfortable in doing so. JHU responded that it would revise substantially the chapter on health interventions, and, in addition, take into consideration the other editorial concerns expressed by AID/W. These included rather mundane items (e.g., the correct organizational title of the Research Division of AID's Population Office, and the need for a detailed table of contents) and major suggestions (e.g., substantial reductions in some chapters and the exclusion of redundancies). JHU eventually published the Review in July 1981.

An assessment of the qualitative merits of the document must await feedback from readers identified as the intended audience. This feedback will be obtained through a questionnaire which has been distributed by AID/W to persons on the distribution list for the Comprehensive Review.

AID/W discussed the potential audience with JHU on numerous occasions, but the University does not feel that this "intended audience" was ever identified clearly. The evaluation team believes that JHU was remiss in initiating this major expenditure of government funds without first establishing clearly with the contracting agency the intended audience for the end-product of its research. AID/W delayed in getting to JHU a distribution list for the Review. The reason for this delay was that AID/W wanted to review the published version of the Review to determine whether or not it merited wide distribution.

Significantly, while assessing the Comprehensive Review the evaluators found that neither AID/W nor JHU is completely satisfied with the product, although some chapters (e.g., the section on health components) are recognized to be more scholarly and useful than others. In general,

discussions in the Review of program operations are characterized by a tone so tentative that their value to action-oriented decisionmakers and program managers is restricted. The lack of specific recommendations doubtlessly reflects, to some degree, the unfortunate state of AID data. The evaluators reviewed the files at JHU; the raw data on most projects were not only poorly organized, but they also lacked specificity and cohesiveness, and data formats were not standardized. Thus, the files did not lend themselves easily to a comprehensive review of the AID experience, a fact which AID/W recognized when it issued the initial RFP. For this reason, ample funds were provided in the contract for JHU to seek out information on family planning operations research from other countries and other agencies. To the extent that JHU availed itself of this opportunity, only a few agencies or groups within the United States were included.

Moreover, because of cutbacks in the last several years of AID/W support personnel, the files in the Research Division of the Office of Population were disorganized. This hindered JHU's work on the Comprehensive Review. AID/W made no attempt to disguise the fact that the files were in a sorry state, and it made it known that it was willing to pay a contractor the necessary fees to categorize, by subject area, country, and geographic region, its program-specific data on operations research in family planning. JHU performed credibly in this area; the files are now organized and easily accessible to AID/W.

The final version of the Comprehensive Review was limited to community-based distribution delivery systems, a restriction which, JHU asserts, was imposed at the specific directive of AID/W's contract monitor. According to AID/W, no such restriction was imposed by the monitor. AID did recommend that the Review concentrate on CBD projects, but not that it be restricted to AID-financed CBD projects. The evaluation team could find neither a written directive nor an amendment to the September 28, 1979, contract to support JHU's position on this matter. Such a restriction would have represented a major change in the contract, and the contract monitor at AID would have been required to certify the rationale for the modification to the Office of Contracts. Both parties to the contract would have had to agree to the amendment. Because neither party requested the change, the Review should have followed the format specified on pages 1-5 of the contract, and both experiences and delivery modalities, in addition to AID CBD programs, should have been examined.

The evaluation team noted that some 35 seemingly relevant projects listed in a 1978 "inventory and appraisal" of CBD programs were omitted from the Comprehensive Review. (See "Community-Based and Commercial Contraception Distribution: An Inventory and Appraisal," Series J, No. 19, Population Information Program, March 1978). JHU has observed that it did not intend for the Review to be an exhaustive catalogue of projects, and that some of the 35 projects listed in the 1978 inventory were reviewed and deliberately (but without explanation) excluded.

The 1978 PIP report was not used to any great extent, but another, published in 1980, was cited that drew particular criticism from AID/W. Chapter V of the Review listed seven "footnotes," six of which were citations from "Review of Experiences and Issues in Social Marketing: Does It Work?" (Series J, No. 21, January 1980). AID/W characterized the use of the citations in the Review as "nothing but a distillation of the PIP report." Series J, No. 21, was produced at The Johns Hopkins University.

Two central findings, with specific implications for the tasks outlined in pages 1-5 in the contract (see Appendix B), emerged from the evaluation of the Comprehensive Review:

1. The Review was limited to AID-funded operations research projects described in the AID/POP files. Thus:
  - a. No international site visits to OR projects were undertaken specifically to help broaden the data base for the Review.
  - b. With the exception of the Pan American Health Organization (PAHO) and the Population Council, no other international organizations were requested to share their OR experience.
  - c. Because most of the OR projects in the AID/W files dealt with "community-based distribution," the focus of the JHU document was more narrowly restricted than the broader and more comprehensive document specified in the contract.
2. Using figures supplied by JHU, it is evident that the majority of the work undertaken during the first year of the contract was on the Review. Except for approximately 4.6 months of technical assistance, all other labor charges in the first 12 months were incurred on the Review. During this period, the semi-annual reports indicate that 91.4 person-months (p/m) of effort, including both professional and clerical support, were devoted to this document. Including fringe benefits and overhead expenses, the cost to AID was approximately \$405,000 (see Table 1, page 10).\*

Because JHU expressed its dissatisfaction with the evaluation team's conclusions about the time and cost estimates for the Comprehensive Review, it may be useful to explain how these conclusions were reached. JHU staff stated during interviews that, except for the 4.6 months of technical assistance, all other time on the contract (i.e., 91.4 person-months) was directed at completion of the Review. AID/W maintains that the only other work authorized during the first year was a paper on oral rehydration.

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\* Excluding cost of technical assistance and general administration.

Table 1  
EXPENDITURES,  
OCTOBER 1979 - SEPTEMBER 1980,  
YEAR ONE

| <u>Professional Staff</u>   | <u>Person-Months</u> | <u>Technical Assistance</u> | <u>Comprehensive Review</u> | <u>Issue Paper</u> | <u>Information Dissemination</u> | <u>General Administration</u> | <u>Cost</u>         |
|---|----------------------|-----------------------------|-----------------------------|--------------------|----------------------------------|-------------------------------|---------------------|
| Baker   | 3.15                 | 2 Days                      |                             |                    |                                  |                               |                     |
| Chow  | 5.15                 | 25 Days                     |                             |                    |                                  |                               |                     |
| Golden  | 2.91                 |                             |                             |                    |                                  |                               |                     |
| Harper  | 6.09                 |                             |                             |                    |                                  |                               |                     |
| Kantner   | 1.80                 |                             |                             |                    |                                  |                               |                     |
| Osborn  | 3.43                 | 9 Days                      |                             |                    |                                  |                               |                     |
| Reinke  | 3.73                 |                             |                             |                    |                                  |                               |                     |
| Rider   | 3.30                 |                             |                             |                    |                                  |                               |                     |
| Sirageldin  | 5.55                 |                             |                             |                    |                                  |                               |                     |
| Parker  | 2.01                 | 35 Days                     |                             |                    |                                  |                               |                     |
| Subtotal  |                      |                             |                             |                    |                                  |                               | \$177,831.14        |
| Other Professional  | 12.99                |                             |                             |                    |                                  |                               | 28,134.73           |
| Administration/ Clerical  | 35.87                |                             |                             |                    |                                  |                               | 37,279.54           |
| Other Technical Assistance (TA) (3)   |                      |                             |                             |                    |                                  |                               |                     |
| Thorne  |                      | 15 Days                     |                             |                    |                                  |                               |                     |
| Clements  |                      | 12 Days                     |                             |                    |                                  |                               |                     |
| Travel  |                      |                             |                             |                    |                                  |                               | 19,428.49           |
| Miscellaneous   |                      |                             |                             |                    |                                  |                               | 3,547.66            |
| Subtotal  |                      |                             |                             |                    |                                  |                               | 262,673.90          |
| Benefits on All Labor   |                      |                             |                             |                    |                                  |                               | 46,216.63           |
| Subtotal  |                      |                             |                             |                    |                                  |                               | 312,438.19          |
| Overhead  |                      |                             |                             |                    |                                  |                               | 184,338.53          |
| TOTAL   | <u>95.98</u>         | <u>4.6 p/m</u>              |                             |                    |                                  |                               | <u>\$496,776.72</u> |
| A. Cost of General Administration:<br>11 percent of total first-year costs (approximate; see Table 3) |                      |                             |                             |                    |                                  |                               | \$ 50,000.00        |
| B. Cost of Technical Assistance:<br>Staff Cost (4.66 person-months x \$4,988/professional month)      |                      |                             |                             |                    |                                  |                               | \$ 23,244.04        |
| Travel  |                      |                             |                             |                    |                                  |                               | 17,602.42           |
| Total   |                      |                             |                             |                    |                                  |                               | 40,846.46           |
| C. Cost of <u>Comprehensive Review</u> : A + B = TOTAL  |                      |                             |                             |                    |                                  |                               | \$405,902.26        |

During the debriefing on December 14, the evaluation team asked JHU for additional detail on Tables 1 and 2 (see page 12), so that it might portray more accurately the costs of the products and services JHU provided. Subsequently, JHU did provide a percentage breakdown for each staff member by time spent on the Review, technical assistance, issue papers, etc. The evaluators used the percentages to construct Table 3 (see page 13), which represents Years One and Two (combined) of the contract. AID/W asked the evaluators to determine specifically the costs for Year One, so that the investment in the Review could be put into perspective. This request was passed on to JHU on four separate occasions, and a matrix for cost allocations was prepared by the evaluators for JHU's use; however, there was no compliance with AID's expressed needs. Thus, the evaluators were left to their own devices to ascertain the costs for Year One of the contract.

By JHU's account, only 24.69 person-months of effort were spent on the Review (see Table 3), yet Table 1, which is drawn from the semi-annual reports, lists 91.4\* person-months after technical assistance is netted out from the total labor effort in the first year. Without the cooperation of JHU, the evaluators were unable to reconcile these differences for AID with any degree of specificity.

The budget notes to Table 1 describe how costs were calculated by the team. Essentially, AID/W/P uses a cost figure of \$4,988 per professional month of labor on this contract. Because the semi-annual reports for Year One list all costs incurred by JHU, the evaluators segregated the cost of the technical assistance labor pool (4.6 p/m), including travel, and the cost for general administration. Once these charges are accounted for, the remainder represents roughly those costs associated with production of the Comprehensive Review, including the considerable amount of work that went into the organization of the AID/W/P files.

The only financial records made available to the team were the semi-annual reports, and it is possible that these do not reflect the actual costs. Thus, the team agrees with JHU that there is room for discussion about the cost elements (see Chapter VI). The figures used by the team, however, can be used until JHU provides alternative accounts of how the contract funds were allocated.

Based on the records submitted by JHU for the December 14 debriefing and for this final report, the team concludes, as it did on December 14, that the government failed to secure, at a reasonable price and expeditiously, the product that it had requested a sponsor to initiate and a client to perform under terms mutually agreed to by contract.

This conclusion is independent of an objective assessment of the quality of the Review. If it is revealed through the questionnaire now being completed by a representative sample of the intended audience, or through any other means, that the Comprehensive Review has been influential, is useful to decisionmakers, is instrumental in improving the cost-effectiveness ratio of operations research or of family planning programs

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\* Rounded off from 91.38.

Table 2  
EXPENDITURES,  
OCTOBER 1979 - SEPTEMBER 1981,  
YEARS ONE AND TWO

| Staff                           | Person-Months | Technical Assistance <sup>1</sup> | Comprehensive Review | Issue Paper | Information Dissemination | General Administration | Cost                  |
|---------------------------------|---------------|-----------------------------------|----------------------|-------------|---------------------------|------------------------|-----------------------|
| Baker                           | 3.25          |                                   |                      |             |                           |                        |                       |
| Chow                            | 5.15          |                                   |                      |             |                           |                        |                       |
| Golden                          | 4.21          | 41 Days                           |                      |             |                           |                        |                       |
| Harper                          | 6.39          |                                   |                      |             |                           |                        |                       |
| Kantner                         | 3.70          | 19 Days                           |                      |             |                           |                        |                       |
| Osborn                          | 18.53         | 36 Days                           |                      |             |                           |                        |                       |
| Reinke                          | 17.43         |                                   |                      |             |                           |                        |                       |
| Rider                           | 4.40          |                                   |                      |             |                           |                        |                       |
| Sinageldin                      | 10.35         |                                   |                      |             |                           |                        |                       |
| Parker                          | 2.51          | 55 Days                           |                      |             |                           |                        |                       |
| Wawer                           | 9.50          | 72 Days                           |                      |             |                           |                        |                       |
| Ajami                           | 11.0          |                                   |                      |             |                           |                        |                       |
| DeSweemer                       | 1.4           |                                   |                      |             |                           |                        |                       |
| Fligel                          | 1.2           |                                   |                      |             |                           |                        |                       |
| Gray                            | 1.5           |                                   |                      |             |                           |                        |                       |
| Huffman                         | 2.4           |                                   |                      |             |                           |                        |                       |
| Knarr                           | 3.0           |                                   |                      |             |                           |                        |                       |
| McCarthy                        | 2.5           |                                   |                      |             |                           |                        |                       |
| Richardson                      | 0.3           | 10 Days                           |                      |             |                           |                        |                       |
| Salkever                        | 0.5           |                                   |                      |             |                           |                        |                       |
| Shah                            | 2.7           |                                   |                      |             |                           |                        |                       |
| Tayback                         | 1.0           |                                   |                      |             |                           |                        |                       |
| Thorne                          | 2.7           | 54 Days                           |                      |             |                           |                        |                       |
| Subtotal                        |               |                                   |                      |             |                           |                        | \$ 572,505.98         |
| Other                           |               |                                   |                      |             |                           |                        |                       |
| Professional                    | 24.81         |                                   |                      |             |                           |                        | 71,368.21             |
| Administration/                 |               |                                   |                      |             |                           |                        |                       |
| Clerical                        | 60.49         |                                   |                      |             |                           |                        | 63,663.22             |
| Research                        | 51.67         |                                   |                      |             |                           |                        | 60,736.53             |
| Other Technical Assistance (TA) |               |                                   |                      |             |                           |                        |                       |
| Lotayef                         |               | 28 Days                           |                      |             |                           |                        |                       |
| Clements                        |               |                                   |                      |             |                           |                        |                       |
| Travel                          |               |                                   |                      |             |                           |                        | 59,266.43             |
| Workshop                        |               |                                   |                      |             |                           |                        | 29,446.54             |
| Miscellaneous                   |               |                                   |                      |             |                           |                        | 3,547.66              |
| Subtotal                        |               |                                   |                      |             |                           |                        | 850,584.62            |
| Benefits on All Labor           |               |                                   |                      |             |                           |                        | 145,982.12            |
| Subtotal                        |               |                                   |                      |             |                           |                        | 1,006,566.74          |
| Overhead                        |               |                                   |                      |             |                           |                        | 593,874.35            |
| TOTAL                           | <u>252.59</u> | <u>15.57 Months<sup>2</sup></u>   |                      |             |                           |                        | <u>\$1,600,441.01</u> |

<sup>1</sup> Of total person-months (p/m), 15.57 p/m have been charged to category of "Technical Assistance."

<sup>2</sup> Technical assistance time does not include preparatory time, and possibly travel time.

Table 3  
 PROFESSIONAL AND OTHER PROFESSIONAL STAFF LABOR DISTRIBUTION,  
 OCTOBER 1977 - SEPTEMBER 1981  
 YEARS ONE AND TWO

| Staff                      | Person-Months | Technical Assistance | Percent Time | Comprehensive Review | Percent Time | Issue Paper | Percent Time | Information Dissemination | Percent Time | General Administration | Percent Time |
|----------------------------|---------------|----------------------|--------------|----------------------|--------------|-------------|--------------|---------------------------|--------------|------------------------|--------------|
| Baker                      | 3.25          | 0.37                 | 10           | 2.6                  | 80           | 0.32        | 10           |                           |              |                        |              |
| Chow                       | 5.15          | 1.25                 | 25           | 3.9                  | 75           |             |              |                           |              |                        |              |
| Golden                     | 4.21          | 2.74                 | 65           |                      |              | 1.1         | 25           | 0.4                       | 10           |                        |              |
| Harper                     | 6.89          |                      |              | 4.15                 | 65           | 2.24        | 35           |                           |              |                        |              |
| Kantner                    | 3.70          | 0.37                 | 10           | 0.37                 | 10           | 0.37        | 10           |                           |              | 2.59                   | 70           |
| Osborn                     | 18.52         | 1.85                 | 10           | 1.85                 | 10           | 3.7         | 20           | 5.56                      | 30           | 5.56                   | 30           |
| Reinke                     | 17.43         |                      |              | 6.1                  | 35           | 5.23        | 30           | 1.74                      | 10           | 4.36                   | 25           |
| Rider                      | 4.40          |                      |              | 2.2                  | 50           | 1.98        | 45           | 0.22                      | 5            |                        |              |
| Straupelstein              | 10.35         | 3.1                  | 30           |                      |              | 5.18        | 50           | 2.07                      | 20           |                        |              |
| Farker                     | 2.51          | 1.5                  | 60           |                      |              | 0.88        | 35           | 0.13                      | 5            |                        |              |
| Waser                      | 9.50          | 4.75                 | 50           |                      |              | 3.8         | 40           | 0.95                      | 10           |                        |              |
| Ajani                      | 11.0          |                      |              |                      |              | 11.0        | 100          |                           |              |                        |              |
| DeSammner                  | 1.4           |                      |              | 0.7                  | 50           | 0.7         | 50           |                           |              |                        |              |
| Flagel                     | 1.2           |                      |              | 0.6                  | 50           | 0.54        | 45           | 0.06                      | 5            |                        |              |
| Gray                       | 1.5           |                      |              | 0.45                 | 30           | 0.9         | 60           | 0.15                      |              |                        |              |
| Huffman                    | 2.4           |                      |              |                      |              |             |              | 2.4                       | 100          |                        |              |
| Inari                      | 1.9           |                      |              | 1.5                  | 80           | 0.9         | 50           | 0.6                       | 30           |                        |              |
| McCarthy                   | 2.5           | 2.5                  | 100          |                      |              |             |              |                           |              |                        |              |
| Pickens                    | 0.1           | 0.1                  | 100          |                      |              |             |              |                           |              |                        |              |
| Salkover                   | 0.5           |                      |              |                      |              | 0.47        | 95           | 0.03                      | 5            |                        |              |
| Shub                       | 2.7           | 2.7                  | 100          |                      |              |             |              |                           |              |                        |              |
| Tayback                    | 1.9           |                      |              |                      |              |             |              | 1.9                       | 100          |                        |              |
| Wason                      | 2.7           | 2.16                 | 80           | 0.27                 | 10           | 2.27        | 10           |                           |              |                        |              |
| <b>Subtotal</b>            | <b>115.62</b> | <b>23.55</b>         | <b>20</b>    | <b>24.69</b>         | <b>21.4</b>  | <b>39.5</b> | <b>35</b>    | <b>15.31</b>              | <b>13</b>    | <b>12.5</b>            | <b>11</b>    |
| Other                      |               |                      |              |                      |              |             |              |                           |              |                        |              |
| Professional*              | 24.81         |                      |              |                      |              |             |              |                           |              |                        |              |
| Administration/Clerical    | 60.49         |                      |              |                      |              |             |              |                           |              |                        |              |
| Research                   | 51.67         |                      |              |                      |              |             |              |                           |              |                        |              |
| Other Technical Assistance |               | 1.9                  |              |                      |              |             |              |                           |              |                        |              |
| <b>Subtotal</b>            | <b>136.97</b> | <b>1.9</b>           |              |                      |              |             |              |                           |              |                        |              |
| <b>TOTAL</b>               | <b>252.6</b>  | <b>25.45</b>         |              | <b>24.69</b>         |              | <b>40</b>   |              | <b>14.9</b>               |              | <b>12.5</b>            |              |

\* Percentage breakdown for this labor pool not provided by BNL.

in developing countries, etc., then it might be appropriate to excuse the delayed receipt and high cost of the product.

### Issue Papers

The contract called for JHU to prepare one "strategy paper" and six "issue papers." The strategy paper, scheduled to be completed within the first nine months of the contract, was intended to outline the six issues selected for intensive consideration; after written approval, this paper was to form the basis for the preparation and scheduling of the six issue papers. The original intent was that the seven papers would build on the experience gained in researching and writing the Comprehensive Review, and identify and examine gaps in knowledge that inhibit improvement of family planning delivery systems.

The three-month extension granted for the Comprehensive Review also applied to the strategy paper, shifting the deadline for the latter from July 1, 1980, to October 1, 1980. In fact, the document was submitted on February 16, 1981. JHU argues that this four-and-one-half-month delay resulted because the revised Comprehensive Review, the foundation for the strategy paper, was not completed until January 1981.

In the seven-page strategy paper, five topics for issue papers were identified and alternatives for a sixth were proposed. JHU's ideas about collecting data and drafting these papers were noted, but in several instances, had more detailed discussion been provided, AID/W would have had a better idea of what was planned. For example, each of the topics for the issue papers was to "be treated at length with a literature review, examination of data from OR and other family studies [sic], and site visits." JHU neglected to explain what kind of family studies would be examined; where site visits would be made, and for what purpose; what costs would be associated with each paper and with each workshop; etc.

At least two meetings between JHU and AID/W staff were held in the six weeks following the receipt of the strategy paper in February. On March 31, 1981, JHU wrote to AID/W asking for written approval to begin work on the issue papers and workshops. AID/W did not approve in writing JHU's request; it has acknowledged that it should have done so, but it felt at the time that its verbal approval was sufficient to begin the next stage of the contract.

Under the terms of the contract, each issue paper was to have included at least one research protocol, and two or three of the papers were to have included detailed research protocols, spelling out methods of investigation and analysis, a suggested timetable, and personnel and budgetary requirements. The issue papers were to have been completed at approximately three-month intervals during months 15-30 of the contract, which would have meant that the first paper should have been delivered on

January 1, 1981. Because JHU did not submit to AID/W by that date either the revised version of the Comprehensive Review or the strategy paper, the first paper was inevitably late, too. A draft of the paper on cost-effectiveness was delivered on approximately April 1, 1981; subsequently, revisions were made, based on opinions from experts who had been solicited by JHU.

A second draft of this paper was used as a background document for the workshop on cost-effectiveness, convened by JHU on August 17-20, although JHU was unable to revise all of the paper in time to distribute it in advance to participants. A complete, final version of this document, incorporating comments by participants at the workshop, is now being written. Its author had informed the team that the paper would be produced by the end of January 1982. The document was delivered to AID on schedule.

JHU's perception is that by distributing the draft paper at the workshop, it fulfilled, in August 1981, its contractual obligation to produce the first issue paper. AID/W has observed that because it did not receive the final version, the paper was not completed under the terms of the contract.

A second issue paper, on health interventions, was submitted to AID during this evaluation, approximately eight months late. The delay, according to JHU, resulted because the author received many requests from AID/W to provide technical assistance, the fulfillment of which AID/W considered to be a higher priority than the author's work on the paper. Although JHU was able to resist some of AID's requests to detour the author of the paper, it did meet others when it was assured by the current contract monitor at AID/W that continuing work on the paper was of less concern than the need for technical assistance to the field.

This report does not contain qualitative commentary on the issue papers that were produced, because such an assessment was not a contractual requirement of the evaluation. Moreover, the first paper is not available in final form, and the second paper was given to the team during its final day of interviews at JHU, December 8, 1981. The evaluation team would note, however, that the JHU staff assigned to all five papers clearly have the qualifications and experience to prepare thoughtful examinations of the issues, and they have access to the necessary documents.

The authors of the other issue papers informed the evaluation team that a draft of the third paper, on field supervision, was to have been submitted to AID by the end of March 1982; a draft of the fourth paper, on training, was to have been submitted by late January 1982; and a draft of the fifth paper, on selection of workers, was to have been received by the end of February 1982. However, according to AID/W, none of these papers had been delivered as of April 13, 1982.

During discussions in November 1981, AID informed JHU that it would be satisfied to receive the first five issue papers specified in the

strategy paper, rather than the six stipulated in the contract. AID/W suggested to JHU that one reason for this reduction was the need to economize on this portion of the contract, particularly in light of the need to do more field-oriented work on a promising project in Brazil. JHU feels that this change constituted a diversion of funds at the request of AID. When asked by the evaluators why they complied with AID's request, JHU staff stated that they felt they were "in the doghouse," because of the adverse course of events during the first 18 months of the contract, and wanted to cooperate with AID/W.

It is the opinion of the evaluators that the Brazil research project would indeed be more valuable to the overall contract objective than a sixth issue paper. JHU has assigned a highly skilled professional to collaborate on the Brazil effort, and the research itself can provide AID/W, and the USAID mission in Rio, with important insights into emerging family planning issues at the community level.

In the interim period discussed above, JHU released to AID/W a draft of a potential sixth issue paper on IEC. AID/W is now reviewing this draft. Depending on the availability of funds, the paper may become the sixth issue paper.

The author informed the evaluation team that the paper, begun in January 1981, consumed all her time until the first draft was sent to AID/W at the beginning of July 1981; after a three-month delay spent waiting for feedback from AID, the author devoted another two months to revising the paper and performing other work under the contract. AID/W has stated that in July 1981, it received, not the complete first draft, but a one-page list of chapter headings. Thus, it maintains that it received nothing substantial on which to return feedback until the November version arrived.

There are conflicting views about whether or not time was spent appropriately to draft the IEC paper. AID's impression is that most of the author's time was not (or should not have been) charged to the contract, because a decision was not made until late summer about the appropriateness of this topic for an issue paper. JHU has noted that IEC was originally one of the topics proposed for an issue paper, and that no decision was made to exclude it. The evaluation team was unable to resolve these differences in the absence of correspondence or documented discussions about the decisions. The evaluators would, however, question the qualifications for *this* task of the person JHU assigned to write the IEC paper. Although clearly bright and professionally competent in many areas, the author herself, in a discussion with the evaluators, acknowledged that she had no previous experience with IEC, with operations research, or with family planning studies; her direct experience in developing countries is limited to several months in Kenya, where she completed field work for a master's thesis for the Department of City and Regional Planning, Cornell University. Between 1974 and 1976, while she was preparing her thesis, she also conducted research on maternal and child health (MCH) and

family planning and rural environmental health at Cornell and the World Health Organization (WHO).

### Technical Assistance

The technical assistance which JHU provided, particularly in the second year, followed the provisions of the contract, and generally was satisfactory to both AID/W and JHU. Some difficulties were encountered in the first year. For example, JHU's initial efforts to provide assistance to the American University of Cairo's (AUC) Menoufia project did not go well. At one point, AID/W's contract monitor was asked by AUC to consider other sources of technical assistance for this project. The monitor discussed the problem with JHU, and there was general agreement that the effort had not gotten off to a good start, primarily because no one individual at JHU had the specific task to provide this assistance. JHU took the necessary corrective action and, by AID/W's account, the AUC situation improved markedly.

Other sources of dissatisfaction in this area tended to come from unfulfilled, non-contractual expectations. AID/W, for example, hoped that JHU would show more initiative in seeking opportunities to provide technical assistance; JHU initially expected that AID/W would provide more direction and make more frequent and explicit requests for assistance.

JHU believes that both parties were hampered by the fact that visits to countries require clearance from USAID missions. As JHU has noted, concurrence for travel is often difficult to arrange for unspecified visits to explore possibilities of developing new projects. Trips of this kind by university researchers are often viewed as unproductive "fishing expeditions," and they are discouraged by USAID missions because they impose extra demands on time and other resources. AID/W disagrees with this viewpoint. Under this contract, it has noted, USAID missions' concurrence for travel was not a problem, and in only one case was travel disapproved for such a reason. It is apparent, nonetheless, that JHU's enthusiasm for initiating overseas travel was dampened by the feeling, however unfounded, that its efforts were likely to be frustrated by administrative obstacles.

The one exception when the AID/W contract monitor did turn down a request for overseas travel occurred on a Friday evening, close to COB, when he received a call from JHU requesting approval for a field visit to Colombia, which was to be initiated the following Monday. The contract monitor asked JHU if the request had been put in writing either to AID/W or USAID/Bogotá. When JHU responded that it had not, the monitor told the University that it was impossible for him to obtain field clearance on such short notice.

Technical assistance in Egypt, begun in the first months of the contract and expected to continue through the life of the contract, is

an example of an essentially successful collaborative effort, although it got off to a slow start. Three JHU staff members made visits to Egypt to help with research and evaluation activities associated with the Integrated Social Services Delivery System in Menoufia and, more recently, to help the Beni-Suef project, which builds on the Menoufia experience. Some data analysis was undertaken by JHU staff in Baltimore when Egyptian facilities appeared to be inadequate. AUC staff responsible for implementing the studies in Egypt have on three separate occasions traveled to Baltimore to work with JHU staff on project planning and data analysis.

The collaboration in Egypt demonstrates commendable contract performance by JHU; it also shows the problems with collaborative operations research in the developing world. For example, JHU was alerted to expect data from Egypt in March 1980, and JHU arranged its staff schedules to process the data rapidly. The data tapes arrived nine months later than scheduled. JHU has pointed out that such events not only delay the final product, but also add to the budget (e.g., some recurrent costs must be maintained) and disrupt staff participation in other research activities.

AID/W has been less sympathetic about problems created by these delays than JHU has expected. AID argues that one of the reasons it awarded the contract to JHU was the University's presumed understanding of the pace and pattern of research in developing countries. It should have been apparent, AID has observed, that delays of this sort would occur, and that JHU should have been prepared to give the staff other useful tasks related to this contract. If such planning and flexibility had been demonstrated, time waiting for data from Egypt might not have been "wasted," but rather used for other productive work (e.g., analyzing other available data).

Technical assistance in Guatemala has been productive, although the current political instability of the country leaves the projects with uncertain futures. The PRINAPS projects, carried out by the Ministry of Health, probably will continue to need technical assistance after the JHU contract ends in the fall of 1982. An effort should be made to continue the productive relationship which has been established.

In November 1981, a JHU staff member and an AID/W staff member went together to Kenya in cooperation with CORAT/AFRICA. Their two-week visit was highly productive, resulting in an agreement on the overall structure for supporting the project, three fairly complete proposals for operations research (including time schedules and budgets), and one preliminary research proposal. The association with CORAT is a promising one at this stage of project development.

Not all site visits or offers to provide in-country technical assistance can lead to productive collaboration, a situation that AID/W recognizes as inevitable. Two visits to Nepal, for example, did not produce a project that would justify further effort by JHU. The reason was an unexpected change in research priorities by the Nepalese authorities, and the recognition that the Nepalis' new project interests do not require JHU's

assistance in the early phases. Moreover, an ex-JHU staff member who worked on this OR contract has taken up residence in Nepal on another AID contract, and thus can provide appropriate technical consultation.

A trip to Jordan, initiated by AID/W, did not lead to follow-up research activities. On this occasion, the problem was due to internal conditions in the country. The political environment was not conducive to acceptance of the idea of family planning, and the national research infrastructure was inadequate to develop and implement an OR project linked to a CBD family planning effort.

Although AID/W complained that JHU's report on this trip was submitted late and that its recommendations were not detailed enough for proper evaluation, the trip did lead to a proposal, currently under consideration by AID, for a non-research demonstration project in Jordan. Because the proposed effort will not include a research component, JHU will not continue to be involved in it.

Technical assistance in Zaire has followed a somewhat different model. AID/W has contracted with Tulane University to set up an operations research project with the Baptist Community for West Zaire (CBZO). JHU is helping in two areas: backstopping all medical aspects of the project and conducting a cost-effectiveness analysis of the two strategies to be tested in the project. Thus far, the work has consisted of three visits to Zaire by two JHU staff members (one trip was with an AID/W staffer), and several visits to JHU by the Tulane staff person handling the project. Training manuals have been produced and training courses for supervisors have been held. Tulane, AID/W's contract monitor, and the Zairean nationals have shown enthusiastic support and appreciation for the work performed by JHU. Some of the products of this technical assistance (e.g., the innovative methodologies for teaching family planning and health to itinerant workers) have been found useful in technical assistance missions to Morocco and Brazil.

Another opportunity for technical assistance was provided recently by the \$166,884 subcontract to CPAIMC in Brazil, begun in October 1981; the purpose of the project was to test several aspects of service delivery in slum areas of Rio. JHU was only marginally involved in the original design of the project, but the changes it made did improve the proposal that was approved finally by AID/W, CPAIMC, and JHU. A JHU staff member is currently visiting Brazil to help with this project. When she returns, it would be useful for AID/W and JHU to discuss the probable demands from Brazil on JHU staff time during the remainder of the contract and to reconfirm JHU's responsibility for the subcontract. If necessary, JHU and AID/W can revise expectations for the Brazil project.

In two instances, JHU was asked to provide short-term, one-shot in-country technical assistance; these visits to the Sudan and to Morocco were entirely satisfactory. The Sudan trip, the purpose of which was to provide advice on issues related to diarrhea, represents one of the few times that JHU has turned to the outside for experts to fulfill a request

from AID/W for technical assistance. The evaluation team questions why other non-JHU staff were not identified to develop and stimulate OR family planning research, given the success of the Sudan mission; the urging by AID/W for JHU to take an active role, and not a passive, reactive stance, in initiating professional exchanges; the availability of funds for outside consultants to provide needed technical assistance (\$24,000 in Year One of the contract, none of which was expended); and the delay in meeting deadlines which, the breadth of talent at JHU aside, JHU has attributed in at least one instance (i.e., completion of the issue paper on health interventions) to "inordinant demands for technical assistance by the faculty members working on this project."

Yet another kind of technical assistance consisted of requests by AID/W for ad hoc, "in-house" reports or services. The first opportunities to fulfill these requests occurred during the earliest months of the contract, when AID/W asked JHU to examine OR data tapes from Tunisia, Egypt, and Bangladesh to determine the usefulness of the cost-effectiveness data. These jobs were unsatisfactory to both parties; JHU contended that it should not have been expected to produce "meaningful" cost-effectiveness analyses because the tapes did not contain enough appropriate data, and AID/W contended that, although the data bases were not strong, useful analyses could have been done if more interest and effort had been shown. Because these early episodes were instrumental in establishing AID/W's image of JHU during the first year, and because they continue to affect working relations, it is worth looking into these problems in more detail.

Even before JHU had begun to analyze the data tapes from Tunisia, both JHU and AID/W recognized that the task would not be easy. The tapes contained no data on costs, only the results of a pilot demonstration effort which tested, for the first time in Tunisia, the feasibility and acceptability of household contraceptive distribution; the only cost data available were aggregate expenses of the pilot project. In requesting JHU's technical assistance, AID/W expected that "some imaginative analyses could be done" which would not only shed light on this Tunisian experience, but also serve as a useful exercise for more detailed, comprehensive analyses for other projects. One senior JHU faculty member told the evaluation team that he believed the tapes were sufficient for productive analyses of some sort. JHU, however, concluded that the weak data base precluded useful cost-effectiveness estimates, a conclusion, it explained, that was reconfirmed during subsequent examination of the data by others.

AID/W, disappointed with JHU's decision, urged further work on the data. It was agreed that a presentation of the data would be made at the August 1981 workshop on cost-effectiveness organized by JHU for this contract. AID/W's dissatisfaction was exacerbated when JHU produced, just two days before the workshop, not a formal paper for presentation, but what were, in AID/W's estimation, a few inadequate tables and paragraphs which did not attempt to link the aggregate cost data to the taped data on program effectiveness. AID/W has pointed out that this document was the only product delivered to AID after more than a year's work by JHU staff on

the Tunisian data. JHU has explained that a formal workshop paper was not distributed because JHU was under the impression, as a result of earlier discussions, that the AID/W Tunisia project monitor "did not wish the data to be used or discussed since they did not present an appropriate picture of the Tunisia activity." AID/W has denied this contention, pointing out that the monitor had no objections to the use or discussion of the data, provided that the basic objectives of the pilot demonstration project (which was not intended to be a cost-effectiveness experiment) were made clear. No written documents are available that would facilitate a further examination of the causes of these disagreements.

This pattern of conflicting perceptions and expectations is also reflected in the handling of the analyses of data from Bangladesh and Egypt. JHU insists that the absence of cost data from the original tapes made an analysis of cost-effectiveness impossible; AID/W argues that with imagination and effort, a range of useful--if not optimal--analyses could have been undertaken. In a letter to JHU, dated January 1981, the contract monitor pointed out the possible need for more information, especially cost data, for productive analyses of the tapes. The monitor was perplexed that JHU made no request for such information.

Another, and very successful, example of "in-house" technical assistance was AID/W's request for a state-of-the-art paper on oral rehydration therapy. A high-quality document was produced quickly by JHU. It was subsequently revised and distributed widely as a PIP Population Report. The ad hoc requests for technical assistance provided JHU staff with the opportunity to demonstrate their competence and their interest in the contract; AID/W is surprised that JHU did not consistently stimulate such productive exchanges.

### Information Dissemination

To date, "the prompt, widespread dissemination of project findings to facilitate application elsewhere" has been limited because most of the products of this contract (e.g., the issue papers) are not, or only recently have been made, available for distribution. The four main exceptions are the Comprehensive Review, several hundred copies of which have been distributed; the paper on oral rehydration, a Population Report; the workshops on cost-effectiveness; and health components in CBD projects. JHU has pointed out that seminars and other forums were held at which information from the OR contract was made available to the World Bank, Research Triangle Institute (RTI), trainees of the Johns Hopkins Program for International Education in Gynecology and Obstetrics (JHPIEGO), and others. Information dissemination is expected to increase greatly during the final year of the contract.

A main mechanism to achieve the objective of disseminating information was the workshop. Three regional workshops on operations research

for family planning programs, one each in Asia, Africa, and Latin America, were to have been conducted during Years Two and Three of the contract. Primarily because of cost and time constraints that limited AID staff's ability to travel outside the United States, AID/W informally agreed that JHU should convene only two of the workshops, and that these should be held locally rather than in developing countries.

The first, convened at St. Michael's, Maryland, on August 17-20, 1981, was the "International Workshop on Cost-Effectiveness Analysis and Cost-Benefit Analysis in Family Planning Programs." The purpose was to allow participants to share materials and experience. The agenda, the list of background documents, and the list of 47 participants were determined in conjunction with AID/W. The workshop was viewed as successful by both AID/W and JHU. However, no systematic evaluation was made to determine whether or not the objectives of the workshop were achieved. This determination might have been made by distributing a questionnaire to the workshop participants, who could have indicated whether or not they felt the objectives were realistic; whether materials and experiences were exchanged in the most productive ways; how future workshops with similar objectives could be improved; etc. Perhaps such an assessment was unnecessary, given the consensus that the workshop was successful, although it might have produced useful results for those responsible for organizing future workshops.

The report on the St. Michael's workshop and the background papers are being edited at this time. The responsible JHU faculty member expects that the manuscript will be submitted to a publisher in early 1982, which--approximately five or six months after the event--would constitute an entirely reasonable time schedule.

During the team's interviews at JHU, plans were well under way for the "Workshop on Family Planning and Health Components in CBD Projects," which was to be convened on January 12-14, 1982. JHU and AID/W collaborated in developing the agenda, assigning background documents, and selecting the participants. The evaluation team interviewed one of JHU's workshop coordinators and concluded that the workshop was well-planned and should make a useful contribution.

### Conclusions

Contract performance on specified tasks was uneven. Productivity was low during the first year of the contract, and the quality of the work disappointed AID/W. Both quality and performance improved in the second year, but not without considerable prodding by AID/W. The tedious chore of organizing, abstracting, and analyzing AID/W's OR files consumed staff time in the initial months; more visibly productive tasks for which these data could be used began only after the preliminary work was completed. In the last half of the second year, the pace increased notably:

More overseas technical assistance was provided, work on the issue papers shifted into high gear, one workshop was convened, and another workshop was planned. There is reason to believe that momentum has been built up and that the third year will be productive.

#### IV. COSTS

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The total amount of funds for the OR contract was originally projected at \$2,847,022. In the first two years, AID/W obligated \$1,440,629, and in the third year, \$955,019, for a total of \$2,395,647. Compared to the original plan in September 1979, the figures indicate that the total OR project budget was reduced by \$451,375.

Through September 29, 1981 (the end of the first two years), the JHU semi-annual reports list total expenditures of \$1,600,441 (see Tables 1 and 2, pages 10 and 12); the figures are 13 percent higher than the AID/W obligation during the first two years. The team was unable to resolve the difference between the figures in the JHU semi-annual reports and the AID/W obligation. The second-year cumulative figure of expenditures (Year One and Year Two) was much improved over the first year, when the contract was underspent by 41 percent (\$496,776 in expenditures, as opposed to \$837,441 in the first-year contract obligation).

On several occasions in December 1981, AID/W asked the evaluation team to make a determination of project costs by category of expenditure (e.g., Review, issue papers, etc.) for the first two years. The team made a matrix for JHU, including a framework to indicate how AID/W's request might be answered in detail, and asked JHU for the necessary data. JHU provided the team with the semi-annual reports, but not with the kind of categorical cost data that AID/W requested.

From the semi-annual reports, the team compiled Tables 1 and 2 for the debriefing on December 14, 1981. Because the semi-annual reports lacked specificity relative to categories of expenditure, and because some JHU staff told the evaluators that "virtually all of the work during the first year was on the Comprehensive Review," and because the Review was to be the main task of the contract (i.e., no other work was to proceed, except technical assistance, until the Review was completed), a total cost of \$405,000 was assigned to the Review (see Table 1).

At the debriefing, AID/W asked JHU for greater detail on the cost figures, particularly in reference to staff it could not associate with contract activities. JHU said it would provide clarification, on a private basis, at a later time. According to AID/W, this clarification had not been made as of April 13, 1982, nor had it been given on previous occasions when requested by AID/W.

The evaluators asked JHU to break out cost components into five categories; JHU said it would comply. One day before this evaluation was to

have ended (January 22, 1982),\* JHU sent a percentage breakdown to Table 2, listing the percentage of time that each professional staff member spent on the Review, issue papers, etc. JHU's percentage breakdown was used to construct Table 3 (see page 13), which shows each category by professional person-months of effort. As the table shows, the Review accounted for 24.7 person-months of effort, with 25.5 months for technical assistance and approximately 202.5 person-months of effort for issue papers, the dissemination of information, and general administration. However, because the strategy paper was the means through which JHU was to secure approval for the issue papers, workshops, etc., and because the document was not delivered to AID/W until February 1981, the evaluators were unable to determine how an appropriate cost allocation of labor by tasks might be demonstrated, particularly with respect to the labor charges listed in Table 1 for the Review, and compared with the figures shown for the same cost entered in Table 3 (91.4 person-months versus 24.7 person-months). Moreover, the costs for the Review which were estimated in this evaluation cover only the costs associated with Year One of the contract. Costs incurred during the period October 1980 - July 1981 (when the Review was delivered to AID/W), or Year Two of the contract, were not estimated by the evaluators because of a lack of data.

Regretfully, AID/W is at this time only marginally better informed on this matter than it was before the evaluation was initiated and repeated requests were issued to the team to obtain cost information from JHU. Because the cost information presented in this report was derived from semi-annual reports and not vouchers, the evaluators are not at all confident that it is an accurate representation of the actual costs incurred during the past two years.

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\* For this, and other reasons, AID/W extended the due date for the evaluation report to April 1982.

## V. CAUSES OF HIGH AND LOW PERFORMANCE

## V. CAUSES OF HIGH AND LOW PERFORMANCE

Because of uncertainties about funding and ceilings on the number of staff who can be hired, AID/W relies on outside organizations to conduct most of its research. Given its preference, AID/W/P would rather have conducted this operations research effort as an internal activity. This approach would have had several advantages because the expected outcomes of the work were meant to address specified program or policy needs. In-house AID researchers tend to understand the Agency's needs and priorities better than outsiders do. When research is done externally, the definition of problems to be researched and the design of work to be undertaken seem to fall entirely either to the sponsor or to the investigator. When research is done in-house, there is often better communication and coordination between those who might use the results of the work and those who conduct the research. Hence, an in-house research capability can enhance the likelihood that the results of the research will be used. When research activities are conducted in this manner, there is a greater tendency on the part of AID decisionmakers to regard them as a legitimate and valuable part of ongoing administrative activities and programs.

For this effort, however, AID/W was unable to approve staff increases to conduct an operations research project as an internal activity. It therefore issued a RFP for competitive bids. JHU stated in its proposal that it had the requisite expertise and base of institutional knowledge to conduct a global operations research effort. Although contractual obligations were not met entirely at a level consistent with costs, particularly during the first 18 months of the contract, JHU did not seek an amendment to modify its commitment.

The explanations for the problems in executing this contract cover a range of areas. JHU contends that most of the difficulties can be traced to the research office of AID/W/P, where the time perspective was excessively short. It believes that AID/W had unrealistic ideas of what could be accomplished through research in a given amount of time, although the time perspective and the research objectives were spelled out clearly to bidders by AID in the RFP released in August 1979.

AID/W attributes the difficulty to JHU. It is felt at AID that some contract staff resist being held to account; that to obtain funding JHU perhaps promised results that it could not deliver; and that JHU did not create the faculty incentives which subsequently could turn disciplinary knowledge toward AID's needs in operations research. During interviews at JHU, the evaluation team came to feel that the faculty occasionally expressed disdain for AID's need for action-oriented research, which was in contrast to the University's prevailing system of incentives to reward "academic research." If this is indeed the case, then there may be a conflict of values--those of a university-based academic community, on the one hand, and those of a government, action-oriented agency, on the other--

even though both groups are dealing with research needs. This issue should be considered carefully in preparing future RFPs for applied research and in awarding future contracts.

Variations in the quality of work among tasks and over time suggest some of the causes of high and low performance on this contract. The immediate causes for varying quality of work are important, because they will continue to influence performance throughout the life of the contract; the more remote structural causes are important also, because they will affect similar collaborative efforts undertaken either by AID/W or JHU in the future.

At the end of the first year, JHU, recognizing that it had accomplished less than was expected, assigned a full-time visiting professor to supervise the contract staff. This person's efforts to press faculty to meet deadlines might have been constrained because he was a visiting professor, and not a resident faculty member. Nonetheless, task scheduling by JHU began to improve at this time. During the second year, more management changes were made in response to repeated requests for action by AID/W, which reached a crescendo by the end of this period. As a result, several highly qualified and experienced middle- and upper-level staff were hired; due dates for late products were scheduled with AID/W; and new technical assistance projects (e.g., Kenya, Brazil, and Zaire) were launched at AID/W's request.

The problems that appeared throughout this period seem to reflect several issues in addition those mentioned above: working relations and definition of tasks.

JHU's relations with AID/W, which the staff had expected to be "collegial," soon became "adversarial." The pressures on the AID Population Office to produce high-quality results were translated into pleas, threats, and demands to JHU staff. JHU, in turn, anticipating criticism and, perhaps, rejection of its good-faith efforts, became increasingly hesitant to propose new ventures; its "initiative," which AID/W had expected JHU to display by identifying new problems and research areas, withered.

In some instances, the specification of tasks was not detailed thoroughly enough and, consequently, products appeared that were somewhat different from those AID/W had envisioned. Apparently, it was not clear to all the contributors to the Comprehensive Review, for example, whether the intended audience was to be AID/W, the USAID missions, Ministry of Health officials, academics doing OR research, or others. There appears to have been some uncertainty about the purpose to which AID/W intended to put the issue papers. Such lack of specificity may have exacerbated problems perceived by both sides. It is the opinion of the evaluation team that before it began work on the contract, JHU should have demanded and received (even if lengthy discussions were required) an unambiguous definition of each assigned task--at the least, a clear definition of

AID's purpose and audience. It is unclear, for example, why the university would allow its staff, its faculty, and its name to be used to produce a major research document for which the intended audience was not specified at the outset.

During the first year of the contract, AID/W's monitoring activities were fairly light. As difficulties were encountered in meeting the time schedule for the Review, AID/W became increasingly concerned about the quality of the product and JHU's ability to meet its obligations. At the start of the second year, AID/W initiated more stringent monitoring activities. Written communications between AID/W and JHU assumed a more somber and perplexing tone and style.

JHU initiated steps to improve its performance, and definitive improvements were made in a number of areas. The AID/W contract monitor tried various ways to improve his own monitoring activities. However, in terms of day-to-day management of the project, AID/W feels that little improvement was made. This situation was discussed with principals at JHU and AID/W. AID/W wrote to the dean and expressed its concern about the wisdom of continuing in the face of what it perceived to be indifference on the part of project staff. Meetings were held between AID/W and JHU; these were frank, and AID/W spoke directly to the point: "Do you want to continue, and, if so, will you give us specifications on what will be done, when, and at what cost?"

Subsequent to this meeting, the AID/W contract monitor felt that a change in monitorship might have a positive impact on the contract in two ways. First, as he later explained, it would constitute something of a "fresh start" for the project. His criticism of the project and of individuals working on the project had often been blunt. He felt that some staff became apprehensive when confronted with the prospects of interacting with him. Second, a new monitor would have more time to spend on the project, because the current monitor's position in AID involved many administrative duties. The change in monitorship was discussed with senior project staff at JHU before it was actually implemented. All the principal parties felt that such a change might have a positive effect and that a new AID/W monitor could begin with a clean slate.

For its part, JHU, in attempting to create a collegial working relationship with AID/W staff, thought that AID/W recognized that production of the Review was a far more difficult task than had been envisioned originally. JHU believed that unwritten common understandings with AID/W implicitly implied adjustments in the contract: There was mutual agreement to a 90-day extension of the Review, and this extension carried over to a 90-day extension for the strategy paper. Also, it was agreed that the Review would be restricted to CBD, and that the documentation and search of OR files would be confined to AID/W, and not expanded to include the international community. AID/W agrees that there was a mutual understanding with JHU on the 90-day extension for the Review, but it strongly disputes JHU's contention about the restriction to CBD and the confinement

of the search. The latter two items were contractual obligations of JHU, and there are no written communications to support JHU's statement to the contrary.

After the first year of the contract, AID/W began to express increasing concern for accountability to JHU. This reflected frustration with the failure to achieve its goal--the linchpin of the entire contract--production of the Comprehensive Review. At this time, AID/W's concern was heightened, because it had approved expenditures of approximately \$496,000, and the contract monitor had approved future expenditures of approximately \$960,000, even though he had neither the Review nor the strategy paper in hand to show to his superiors and the AID/W contract officer. Moreover, in the absence of these products, he had recommended JHU for the second year of the contract. The contract monitor was blunt with JHU. He has acknowledged that he occasionally was disagreeable and difficult to deal with on a day-to-day basis. Although the frustrations and irritation which colored the monitor's interaction with JHU may not have improved contract performance, the monitor persisted in believing that JHU could in fact deliver on its contractual obligations. Having approved expenditures in the first year for an undelivered product, and having continued expenditures for the same product into the second year, the AID/W contract monitor was on a shaky limb; other government officials in the same position might have recommended cancellation of the contract at the end of the first year. However disenchanted JHU might have been with the AID monitor, none of the staff gave any recognition during interviews to the fact that, by personally taking risks on their behalf, the monitor placed the continuation of his government career in jeopardy. Yet, for this very reason, the Government now has a contract which promises to meet some of the expectations which both parties had in 1979.

During this same time period, JHU was under considerable duress because of its attempts to implement the contract and meet established deadlines. Good-faith efforts were made to comply with the terms of the contract, although these were not always matched by a consistent rate of progress toward performance goals. JHU was not doing a job that met its own expectations of quality performance, and its staff had difficulty coming to terms with AID/W's needs for action-oriented research results. JHU also felt constrained by the AID/W approach to designated staff time by contract product; that is, it was difficult to say that "W" staff member would spend "X" days and deliver "Y" product by "Z" date. The University was more comfortable with a core staff approach, although AID/W informed JHU that this was a competitive contract and could not be used to support core staff on undesignated time.

It took some time for both parties to adjust to each other's working style, although AID's particular style should have been well known to JHU, which had had extensive contractual experiences with the Agency over the past 12 years. AID/W did not hide its needs in the RFP issued in August 1979; it wanted an extension of its own research staff, and it wanted an

external source to arrange its OR research files. There can be no doubt that JHU's first perceptions of the difficulty of the tasks in the contract changed once the University was fully engaged in implementing that work. AID's perceptions of the work to be performed remained constant; AID did change its view of JHU's ability to perform as contracted.

## VI. RECOMMENDATIONS

## VI. RECOMMENDATIONS

Much was accomplished during the first 26 months of this contract, despite frustration and disappointment on both sides. The dissatisfaction apparent a year ago left scars, but it also produced changes. Expectations have been clarified, working relations have improved, and new staff have begun to make contributions. Because of the importance of the contract products and services which are still expected from JHU, and because the atmosphere and conditions are now more conducive to fruitful collaboration, the evaluators believe that satisfactory, though perhaps not punctual, completion of the contract is highly likely. With this view, the following recommendations are proposed:

1. AID/W/P should request JHU to provide a detailed fiscal accounting of each cost entered in Tables 1 and 2, particularly in regard to the labor charges allocated by the evaluators to the Review in Table 1.
2. The current contract should be continued through September 30, 1982. If obligated products or services are not provided by that date, a no-cost extension should be considered.
3. JHU should take the necessary steps to complete promptly the issue papers, workshops, and technical assistance activities. To ensure that the final versions of the remaining issue papers are satisfactory to both AID/W and JHU, it is suggested that:
  - a. the authors immediately prepare and give to AID/W detailed outlines of their papers;
  - b. these outlines serve as a basis for discussions between AID and JHU, conducted as soon as possible, about the organization, style and content, and timing of the papers;
  - c. following these discussions, the conclusions about organization, time, etc., be confirmed in writing.
4. JHU, because of its unique involvement with OR family planning research, should make a more vigorous effort, in collaboration with AID/W, to locate appropriate OR projects abroad which are worthy of technical or financial support. JHU should convey to AID/W its recommendations for action, which may or may not require JHU's assistance.
5. JHU and AID/W should discuss how the purposes of this contract can be matched with those of the operations research contract

in health held by the Center for Human Services, particularly in regard to the integration of family planning and health services, and to the recent integration of the Offices of Health and Population in AID/W.

6. In consideration of the recent improvements in contract performance over the past eight months, and because of the considerable investment in this OR capability, consideration should be given to a contract extension, if substantial progress continues to be made over the next eight months.
7. In the event Recommendation 6 is not feasible, subcontracts and OR field activities under way at this time should be transferred to the OR project in health for contract monitoring and technical assistance.
8. If progress in Recommendation 5 is satisfactory, consideration should be given to a contract extension or, if this is not possible, to an extension through a subcontract arrangement with the holder of the health OR contract. Such a contract should be structured to permit JHU to use its professional strengths to do research and to give technical assistance to OR projects in both health and family planning, while the Center for Human Services manages and administers the combined effort.
9. For future contracts of this kind, an exchange of staff between AID/W and JHU should be considered, beginning in the earliest months of work. Such an arrangement would facilitate understanding of the values, expectations, needs, etc., of each institution and increase the probability of satisfactory collaboration. For example, JHU in this case could offer a visiting professorship to an AID/POP professional, and AID/POP could ask for the detail of a professional from JHU.
10. The changes in the original contract, to which AID/W and JHU have informally agreed, should be formalized through an amendment to the contract. The modifications are:
  - a. five, and not six, issue papers will be produced; and
  - b. two, and not three, "regional workshops" will be organized, convened, and conducted in the United States rather than in developing countries.

## APPENDICES

Appendix A  
LIST OF PERSONS INTERVIEWED

Appendix A

LIST OF PERSONS INTERVIEWED

Agency for International Development, Washington

Jerald Bailey

Marnie Chen

Duff G. Gillespie

James Heiby

Elizabeth Maguire

J. Joseph Speidel

Johns Hopkins University

Debora Cebula

Charles Flagle

Archie Golden

Ronald Gray

Donald A. Henderson

Sandra Huffman

John F. Kantner

Linda Knerr

Pamela Mandel

James McCarthy

Richard W. Osborn

Robert Parker

William Reinke

Farida Shah

Ismail Sirageldin

Cecille DeSweemer

Carl F. Taylor

Maria Wawer

**Appendix B**

**COMPLETE STATEMENT OF WORK FROM CONTRACT**

Appendix B

COMPLETE STATEMENT OF WORK FROM CONTRACT\*

ARTICLE I - STATEMENT OF WORK

A. General

The Contractor shall provide support for the improvement of family planning services in developing countries (LDCs) through the systematic study and objective assessment of intensive family planning service delivery systems established in LDC settings. In pursuit of the overall goal, the following tasks shall be performed:

- 1. Comprehensive review and analysis of experience gained through AID and related family planning operations research projects.
- 2. Preparation of papers concerning specific unresolved issues requiring further research.
- 3. Provi[sion][of] technical assistance to USAID Missions and LDC organizations for ongoing projects and programs, as well as for the development and implementation of forthcoming research protocols.
- 4. Assistance in ensuring the prompt, widespread dissemination of project findings to facilitate application elsewhere.

B. Specific Tasks

I. Comprehensive Review

1. The Contractor shall provide a comprehensive review of operations research projects in family planning, initiated with the assistance of AID or other international organizations, as well as those undertaken directly by host governments. The review shall determine the "state-of-the-art" of family planning operations research and will assess its effectiveness in facilitating policy decisions for the improvement of family planning programs.

2. The review shall address at least the following types of programs:

- a. Categorical family planning approach:

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\* Source: AID Contract with The Johns Hopkins University, September 1979.

B-2

- (1) Family planning clinics of various types.
  - (2) Mobile clinics/teams.
  - (3) Family planning camps, e.g., vasectomy camp in India.
- b. Integrated approach with health and primary care:
- (1) Hospital-based family planning programs.
  - (2) Maternity-centered and Maternal and Child Health [MCH] and family planning programs.
  - (3) Various models of integrated programs, e.g., integrated with parasitic disease control, nutritional program, MCH care, [and] primary health care programs.
- c. Commercial channels:
- (1) Pharmacies and drug stores.
  - (2) Other commercial and business outlets, e.g., "Sari-Sari" stores in the Philippines.
  - (3) Traveling salesmen, e.g., "Jamu" vendors in Indonesia.
  - (4) Mail-order schemes.
  - (5) Vending machines.
- d. Community-based family planning programs:
- (1) Utilizing community leaders, e.g., teachers, village clerks, head-men, etc.
  - (2) Village and household distribution of contraceptive supplies.
  - (3) Contraceptive inundation programs.
  - (4) Family planning programs in special locations, such as industrial establishments, military camps, schools, etc.
  - (5) Family planning programs for special occasions, e.g., village fairs, exhibits, village market days, etc.

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- e. Use of different types and ratios of personnel:
    - (1) Paramedical and lay workers.
    - (2) Unipurpose vs. multipurpose workers.
    - (3) Private practitioners, e.g., physicians, nurse-midwives, etc.
    - (4) Community development workers.
    - (5) Community and religious leaders.
    - (6) Deliberate use of "peer pressure."

3. The review shall entail four major approaches:

- a. Review of relevant literature to determine the feasibility and effectiveness of alternative delivery systems for family planning.
- b. Interview of officials in charge of the OR projects in AID and other international organizations.
- c. Review of the reports submitted to AID and other international organizations from various OR projects, including secondary analyses of the data collected by these projects.
- d. Site visits to selected OR projects.

4. The secondary analyses (3.c above) in some instances may require subcontract or purchase order procurement from public or private sector sources in LDCs. In other cases, the Contractor shall perform data analysis in its home facility.

5. The end result of the above review shall be preparation of a final report. The general layout of the report will be finalized in consultation with the CTO of AID. It will be further refined in the course of literature review, review of reports and analyses of data, and interviews of related officials and site visits. The probable outline is as follows:

- a. Introduction - Statement of the Problems and Need.
- b. General Description of the OR Activities in Alternative Family Planning Delivery Systems.
- c. The "State-of-the-Art" of OR Activities - Descriptive Review.

- (1) OR projects undertaken with AID assistance.
- (2) OR projects undertaken with the assistance of other international organizations.
- (3) OR projects undertaken with the initiative of various governments in the developing countries.

d. Analytical Review.

- (1) Accomplishments.
- (2) Differentials of "success" - by type of population, type of workers, motivational techniques, fertility control methods, charging policy, referral and resupply system, distance to service facilities, characteristics of target populations, etc.
- (3) Impact on fertility and health.

e. Lessons Learned.

f. Unanswered Questions - Future Research Needs.

g. Implication of the Review - Policy Relevance.

h. Index of OR Projects.

i. Bibliography.

6. The report will have a concise summary at the end of each section and chapter, highlighting the major findings. The presentation will be supplemented by a series of tables, charts and graphs to facilitate conceptualization and understanding by policy makers in the developing countries.

7. The review will be accomplished within six months after the signing of the contract. The tentative time schedule for this task is as illustrated in the chart below. After adequate time for CTO review and comments, the Contractor will produce up to 500 copies.

| Activity  | Month |       |       |   |       |   |
|---|-------|-------|-------|---|-------|---|
|   | 1     | 2     | 3     | 4 | 5     | 6 |
| 1. Review of literature                             | _____ |       |       |   |       |   |
| 2. Interviewing related officials                   |       | _____ |       |   |       |   |
| 3. Review of reports and secondary analyses of data |       | _____ |       |   |       |   |
| 4. Site visits to OR projects                       |       |       | _____ |   |       |   |
| 5. Preparation of final report                      |       |       |       |   | _____ |   |

## II. Issues Papers

1. The specific aims of this phase of activities are:

- a. To identify, through the Comprehensive Review and discussions with the AID CTO, major gaps in knowledge that inhibit improvement of family planning delivery systems.
- b. To formulate these problems in a manner which facilitates analytical investigation of possible answers through operations research.
- c. To organize these problems into a series of interrelated issues with a time-phased strategy for dealing with them.
- d. To prepare six issues papers that include research protocols for addressing the most urgent questions.

2. The issues papers will deal with the following topics and/or such others as may be agreed to by the Contractor and the AID CTO:

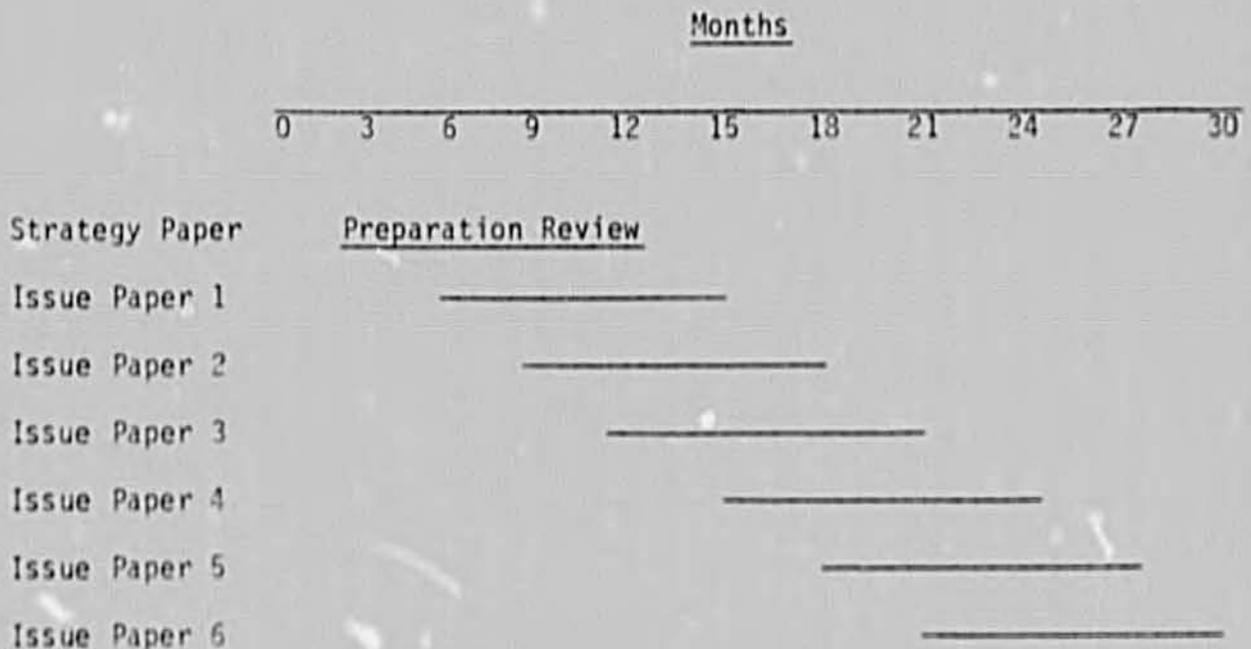
- a. characteristics of social organization for successful community-based family planning delivery;
- b. use of community incentives to increase contraceptive use;
- c. charging policies for family planning and health services;
- d. volunteer versus paid fieldworkers;

- e. multipurpose versus single-purpose fieldworkers; and
- f. cost allocation procedures among integrated family planning programs required to produce cost-effectiveness ratios for individual service components.

3. The Contractor shall provide a strategy paper dealing with the above six issues, completed within the first nine months of the contract. This paper will outline the six issues selected for intensive consideration.

4. It will be submitted to the AID CTO for comments and, after written approval, will form the basis for scheduling preparation of the individual papers during the remainder of the contract.

5. Each issue paper will provide a review of data on key questions and will present suggested research protocols that could address the questions. Detailed research protocols will be prepared for 2-3 of the topics. These latter protocols will spell out methods of investigation and analysis, a suggested timetable, and personnel and budgetary requirements. The papers will be completed at approximately three-month intervals during the months 15-30 of the contract, as indicated in the schematic schedule below.



6. The actual implementation of protocols developed through these issue papers will not necessarily be part of this contract. The Contractor may be called upon to provide technical assistance to organizations that are involved in studies resulting from these issue papers. This type of technical assistance is discussed below.

### III. Technical Assistance to the Field

1. The Contractor shall provide technical assistance to UDAID Missions and host-country organizations throughout the life of the contract. Requests for technical assistance will be generated in three ways:

- a. Requests made by the Office of Population that concern existing or planned OR projects sponsored by the Office.
- b. Requests made by USAID Missions.
- c. Requests made by host-country organizations through the Missions.

2. The CTO will a) assist the Contractor in prioritizing such requests and b) assure mission cognizance of availability of this assistance.

3. Assistance will consist of short-term trips, but will typically involve numerous follow-up trips to ensure the continuous provision of technical assistance. This technical assistance will emphasize establishment of a working relationship with Mission and host-country personnel through which the Contractor ensures that the resolution of the particular problem is reached in a satisfactory manner. All travel must have prior written approval of the CTO.

4. The manner in which technical assistance shall be provided will vary from country to country. The following are examples:

- a. The processing and analysis of data already collected: Here, the Contractor will work closely with local investigators who have limited data processing capabilities and assist them in all stages of analysis. Data processing may be performed in the Contractor's facility or, as appropriate, processed from local LDC sources.
- b. The development of a research protocol: A local institution may wish to conduct an operations research project, but lacks the necessary resources to design such a project. The Contractor will provide the necessary technical assistance during all stages of project development and implementation.
- c. The modification of an existing delivery system: Frequently, program administrators wish to make relatively minor modifications in their program

but do not wish to mount a major research undertaking prior to such a modification. For example, a program administrator may wish to shorten the training period for fieldworkers. Under this contract, technical assistance will be provided to assist in developing changes in the training program and the establishment of an evaluation system that would enable the administrator to assess the modification.

- d. The improvement of the delivery system: Some delivery systems are basically sound, but can be improved through changes that do not entail major modifications of the existing program. For example, many programs are weak due to inadequate cost analysis. Under this contract, technical assistance will be provided in the area of cost analysis to allow the program administrators to better assess the cost per program output.

5. In order to activate studies in the field which might be indicated by the above identification of problems and technical assistance, subcontracts or purchase orders may be implemented for on-site LDC data collection and processing. These subcontracts require the prior approval of the AID Contract Office.

6. In order to facilitate the strengthening of local data processing and analysis capability, an experienced computer specialist shall be provided. The staff member shall be experienced in the use of the wide variety of computer facilities and be proficient in the several programming languages that might be appropriate to specific requests.

#### IV. Information Dissemination

The Contractor shall provide technical assistance to AID in the preparation of materials for publication and other methods of wide distribution. The Contractor will assist OR project directors and AID CTO in the preparation of these reports. This assistance includes computer processing of existing project data, as above (Task 3). This information dissemination may take the form of published serial reports and/or may link into existing information networks like the Population Information [PIP] [at Johns Hopkins University] (JHU). Dissemination will also include:

- a. Incorporation of OR findings into training and teaching programs; for example, presentations to students and participants at special workshops and seminars in various disciplines.
- b. Inclusion of OR documents into the PIP/JHU computerized retrieval system for greater public access.

- c. Conducting three regional workshops on operations research for family planning programs, one each in Asia, Africa, and Latin America during Years 2 and 3.

V. The Contractor shall work closely with the AID CTO. The Contractor shall submit an outline of the projected annual work plan (for Years 2 and 3) in the tenth month of each contract year (Years 1 and 2) to the CTO for review. Incremental funding shall be based in part on this review. The written work plan may be modified with CTO and Contract Office approval at any time by means of negotiated contract amendments.

C. Travel

All travel supported under this contract must be approved in advance by the CTO, in accordance with Article X-E. The Contractor shall be able to respond to field requests for technical assistance with appropriate staff within one month.

D. AID Resources

Files and experiential resources of the Office of Population, AID, shall be made available to the Contractor, as needed, to complete the tasks in this Workscope. There will be no access to classified information.

E. Language

Overseas travel to French-, Spanish-, and Portuguese-speaking countries shall be limited to Contractor staff who show clear evidence of a working knowledge of those languages. This requirement may be waived by the CTO in specific situations. For those Contractor staff who have prior training in a specific, needed language, but who are in need of short-term tutoring (approximately four (4) weeks, full-time), such training may be provided under this contract with prior CTO approval.

F. Correspondence

Copies of all correspondence pertaining to substantive project matters between the Contractor and foreign organizations, USAID Missions or international organizations will be forwarded to the CTO.

G. Project Evaluation

Two evaluations will be initiated and completed during the life of the project. The first is scheduled during the second quarter of the second year of the project, and the second [is] to take place during the final year. The purpose of these evaluations will be to assess the

progress of the project in reaching planned goals and outputs, and to recommend changes in project direction. At the minimum, the evaluation team will consist of an AID/W representative and a third party. The evaluation will not be financed out of contract funds. Subject to two weeks [of] advance notice, the Contractor will have all project-related documents ready for review when the team arrives.

#### H. Reports

The reports required below are in addition to those required under General Provision No. 16, with exception of subhead 1.

1. Semi-Annual Progress Reports shall be submitted to CTO (8 copies) to be distributed as appropriate, with one copy to the Contracting Officer. The report shall describe major activities undertaken during that period, including progress in central as well as field activities. The report shall include a description of staff time usage, a listing of reports in progress and completed, and [a] financial report for that period. In addition, the report will include projected activities and budget for the next reporting period. This report is due 45 days after the end of each six-month contract period. It should not exceed fifteen (15) pages.

2. Trip Reports (eight copies) shall be submitted to the AID CTO for all AID-sponsored international travel no later than 15 days after completion of the travel.

3. Final Report - In the final report required in General Provision Clause No. 16, add the following requirement: Within 45 days after completion of the work hereunder, the Contractor will submit eight (8) copies of a final report to the CTO, which shall include all task-related documents produced under the contract, a self-evaluation of the contract and a financial statement.

4. Task-Related Reports - Reports required in the above Statement of Work shall be submitted in eight (8) copies to the CTO.

#### Article II - TECHNICAL DIRECTIONS

Performance of the work hereunder shall be subject to the technical directions of the cognizant AID Scientific/Technical Office indicated on the Cover Page. As used herein, "Technical directions" are directions to the Contractor which fill in details, suggest possible lines of inquiry or otherwise complete the general scope of the work. "Technical directions" must be within the terms of this contract and shall not change or modify them in any way.

ARTICLE III - KEY PERSONNEL

A. The key personnel which the Contractor shall furnish for the performance of this contract are as follows:

Key Personnel: John F. Kantner - Program Director - 15%

William Reinke - Program Director - 75%

B. The personnel specified above are considered to be essential to the work being performed hereunder. Prior to diverting any of the specified individuals to other programs, the Contractor shall notify the Contracting Officer reasonably in advance and shall submit justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. No diversion shall be made by the Contractor without the written consent of the Contracting Officer; provided that the Contracting Officer may ratify in writing such diversion and such ratification shall constitute the consent of the Contracting Officer required by this clause. The listing of key personnel may, with the consent of the contracting parties, be amended from time to time during the course of the contract to either add or delete personnel, as appropriate.

Appendix C

FLOWCHART OF PERFORMANCE MILESTONES  
OVER 36 MONTHS OF CONTRACT, 1979-1982

Appendix C

FLOWCHART OF PERFORMANCE MILESTONES  
OVER 36 MONTHS OF CONTRACT, 1979-1982

