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EVALUATION TASK FORCE IMPLEMENTATION WORK GROUP

AN INTERIM REPORT

July 24, 1981

EVALUATION TASK FORCE IMPLEMENTATION WORK GROUP: CURRENT STATUS

The Evaluation Task Force Implementation Work Group is an interbureau committee constituted for the purpose of defining workable approaches to implementing the recommendations approved in by the Administrator based on AID's 1980 Evaluation Task Force Report. (A list of the members of this Work Group is provided at the end of this section of the interim report).

The Work Group began its effort to define implementation approaches at a Conference which began on February 19, 1981, and continued for a period of three weeks as a series of 1-2 hour meetings of the full Work Group. Through the Conference, the Work Group reached a number of tentative decisions and it identified several topics which needed to be addressed before decisions could be made. The products produced in connection with the Conference sessions included:

- a briefing book, prepared prior to the Conference as a guide for Work Group action;
- a set of "instant replay" notes which captured the sense of each Conference session and summarized decisions made, and
- an "action board" that identified the topics which needed to be addressed in detail before Work Group decisions could be made as well as those who would participate in "small group" or sub-committee efforts to address these topics.

During the period from March through June, 1981, several actions were carried out by the membership of the Work Group, acting in smaller units:

- Four of the "small groups" concluded their deliberations and submitted reports for the full Work Group to consider. (These reports are transmitted in this interim report).
- The "small group" on evaluation training completed a portion of it's work and began a series of "diagnostic tests", with the assistance to PM/TD, to determine how well students in AID's IDI, PDE and Orientation courses were learning core design and evaluation concepts.
- Using the minutes of the Work Group Conference and the products of the "small groups", PPC/E/PES prepared AID's FY 82 Evaluation Planning Guidance cable and secured comment/clearance from those Work Group members who also represent bureaus which must submit FY 82 evaluation plans. The guidance issued by the Agency reflects several of the recommendations included in the 1980 Evaluation Task Force Report.

Two of the "small groups" have action agendas that will be completed during August, 1981:

- The "small group" on evaluation training will review the findings from its "diagnostic tests" and prepare a final report for the Work Group, and
- The "small group" on the storage/retrieval of evaluation information will review the submissions from other groups and prepare a report for the full Work Group.

In September, 1981, the full Evaluation Task Force Implementation Work Group will reconvene its Conference to consider the reports of the "small groups", reach decisions based on the recommendations in those reports, identify remaining issues/topics that the full Work Group must address, prepare a final/integrated version of its full set of implementation action recommendations, and circulate that draft for wider comment. (Preliminary work on an integrated Work Group report will be undertaken by PPC/E/PES during August, 1981, and submitted to the Work Group as a "working draft" prior to the first Conference meeting in September.)

Once the Work Group has circulated its draft report and received bureau comments, a final version will be prepared. The final version will incorporate such action recommendations as require clearance at the level of bureaus or the Administrator.

It is anticipated that the final report of the Evaluation Task Force Implementation Work Group will be ready o/a October 30, 1981.

A. List of the Members of the Evaluation Task Force Implementation Work Group

AFR/DP, Henry Miles	DS/DIU, Lee White
LAC/DP, Bernice Goldstein	PM/TD, Ken Smith
LAC/DR, Carl Leonard	DS/DIU/DI, Maury Brown
ASIA/DP, Barbara Pillsbury	NE/TECH, Graham Kerr
ASIA/DP, Robert Halligan	NE/PD, David Mandel
DS/PO, Frank Campbell	SER/CM, Frank Caulkins
DS/PO, Fern Finley	PPC/PDPR/PDI, Frank Kenefick
PDC/PMS, Judy Gilmore	PPC/E, Robert Berg
PDC/FFP, Carolyn Weiskirch	PPC/E/S, Richard Blue
AA/LEG, Peter Theil	PPC/E/PES, Nena Vreeland
AG/PPP, Susan Gaffney	PPC/E/PES, Robert Thompson
NE/DP, Richard Rhoda	LAC/DP, David Erbe
ASIA/DP, Maureen Norton	PPC/PDPR, John Welty
AFR/DP, Frank Dimond	

B. "Small Groups" on Topics and Their Members

"Small Group" Number	Topic	Group Members
1	An Issue Driven Approach to AID's Evaluation System	R. Rhoda, M. Norton, R. Blue, J. Gilmore, H. Miles, J. Welty
2	Evaluation Planning	B. Goldstein, F. Campbell, M. Norton, R. Blue, D. Mandel, D. Erbe
3 (a)	Evaluation Report Format	L. White, F. Campbell, H. Miles, G. Kerr, F. Diamond, N. Vreeland, M. Norton
3 (b)	Information Processing: DIU	L. White, N. Vreeland
4	Synthesis	R. Berg, G. Kerr, M. Norton, B. Goldstein
5	Utilization of Evaluations	N. Vreeland, R. Rhoda, H. Miles, J. Welty
6	Evaluation Training	M. Hageboeck, K. Smith, F. Finley, R. Thompson

DECISION AND ISSUE SUMMARY

DECISION AND ISSUE SUMMARY

A. DECISIONS TAKEN

In the course of its spring Conference, and as a result of the process used to prepare the FY 82 Evaluation Planning Guidance cable, the Implementation Work Group has made/implemented the following decisions concerning the recommendations of the Evaluation Task Force:

-- Recommendation 1 on Leadership Interest

AID's new Administrator, Peter McPherson, has already shown strong interest in AID's evaluation system. His remarks on this subject to Congress and his cable to the Missions on evaluation is exactly the type of leadership reinforcement sought by this recommendation.

-- Recommendation 2 on New Information Needs

This issue is being addressed by "Small Group" # 4, (see attachment). In addition, PPC/E/S is placing additional emphasis this year on preparing reports that synthesize the findings of impact evaluations within sectors. Alice Morton (PPC/PDPR/HR) and John Harbison (ST/RAD) have led an effort to review the findings in impact evaluations on a series of "cross-cutting" issues. PPC/E/PES is undertaking several efforts in this area including a follow-up review of the evaluations and audits on projects identified in AID's Portfolio Supervision Report. PPC/E/PES is also planning reviews of the findings of past evaluations of projects that involved issues of current interest, e.g., private sector involvement in development, technology transfer, institution building.

-- Recommendation 3 on the Purposes of Evaluation

This issue is being addressed by "Small Group" # 1 (see attachment). In addition, it should be noted that the FY 82 evaluation planning guidance cable has incorporated a new instruction which deals with the specification of the reason why evaluations are to be undertaken. The wording in those sections of Handbook 3 (the current draft) is being modified to focus attention on this dimension of evaluations.

-- Recommendation 4 on Information Management

This issue/topic is being addressed by "Small Group" # 3 (see attachment). Additional work will be carried out in August, 1981.

-- Recommendations: On Evaluation Planning

AID's FY 82 evaluation planning guidance cable has taken into account the substance of this recommendation and the implementation recommendations made by "Small Group" # 2. Additional action in this area is anticipated for FY 83.

-- Recommendation: On Impact Evaluations

The program is being continued. Several "small groups" are identifying ways in which these evaluations can be better integrated into the main system.

-- Recommendation: On Training

Issues in this area are being addressed by "Small Group" # 6, see attachment.

-- Comments on Constraints in the Evaluation Task Force Report

- (a) Information is being collected on expenditures in the FY 82 mission evaluation plans, this information and other factors will be considered by the Work Group in the fall. Ways of rationalizing evaluation needs and financial resources will be addressed as part of the topic: evaluation planning.
- (b) Handbook 3 is already being modified to reflect the work of the Task Force and the Work Group.

B. EXPERIMENTS UNDERWAY

Through its FY 82 Evaluation Planning Guidance, AID has undertaken what is in effect a set of experiments to test the feasibility of acting on several of the Evaluation Task Force recommendations. The FY 82 Evaluation Planning Guidance cable included instructions that incorporated the Task Force recommendations concerning:

- the adoption of a multi-year evaluation planning process;
- the identification of the issues to be addressed by AID evaluations, i.e., the reasons for undertaking them;
- the identification of reasons for not undertaking evaluations of projects, where no evaluation is scheduled.

This guidance also includes experimentation with the estimation of evaluation costs, including direct hire time. The experiments will be concluded in two stages: (a) submission of the FY 82 evaluation plans to bureaus (September 1, 1981) and to PPC/E for summarization as the Agency Evaluation Plan (September 30, 1981) and (b) the submission of Mission comments on their experience with the FY 82 Evaluation Planning Guidance (o/a October 30, 1981),

C. PENDING ISSUES/DECISIONS

There are issues/decisions pending in all of the areas addressed by the "small groups" of the Implementation Work Group. A preliminary review of the products of these groups suggest that some of the main issues/decisions before the Work Group include:

- Issues/decisions concerning the evaluation planning cycle -- when it commences and how it fits into other Agency decision/documentation cycles. It is already clear from our FY 82 evaluation planning guidance exercise that the bureaus have different approaches to deciding how their bureau funds are to be spent. The problems this presents concerning the inclusion of costs on evaluation plans need to be addressed/resolved.
- Issues/decisions concerning evaluation reporting formats and their coverage. Right now Asia has its own format and AID's impact studies use their own summaries. The use of different approaches presents problems on both a theoretical and practical level. If we have one Agency system, we ought to be able to come up with one Agency approach for summarizing evaluation findings that's useful to everyone. If we are to automate evaluation data, our requirements for evaluation summaries that can be processed by DS/DIU need to apply to all evaluations, not just some of them. The issues here need to be reviewed and resolved.
- Issues/decisions concerning formats and contents for several types of evaluation plans, e.g., project evaluation plans in PPs, mission and bureau evaluation plans. To some degree, the FY 82 Evaluation Plans will illuminate the realism of various options in this area.
- Issues/decisions concerning the duplication of effort evident in the area of evaluation abstracting and the optimum roles for DS/DIU and bureau evaluation offices with respect to summarization/synthesis of evaluation findings.

The issues/decision noted above are illustrative of areas that the "small group" reports suggest require attention. PPC/E/PES anticipates the development of a detailed list of "issues/decision" during August, as a by-product of an effort to integrate the comments from the "small groups" into a full-scale draft report. The detailed list of "issues/decision" found in individual "small group" reports and between such reports will be provided, with the report draft, to the Work Group members prior to their first meeting in September. The detailed list of "issues/decisions", together with the draft report and this interim report, will form the agenda for that meeting.

The following sections of this interim report contain the reports from "small groups" covering the following topics from the "Action Board":

1. An Issue-Driven Approach to AID's Evaluation System
2. Evaluation Planning:
 - (a) The substance of evaluation plans
 - (b) The evaluation planning cycle
- 3 (a) Evaluation summary format (submitted as part of 4, below)
4. Synthesis of evaluation findings
5. Utilization:
 - (a) Promoting it
 - (b) Proving it
6. Evaluation Training (interim statements only)

The final section of the interim report contains copies of the "instant replay" notes from meetings of the full Work Group as well as supplementary "minutes" taken by PPC/E/PES, Sallie Alvin during the sessions on 2/17/81 and 2/23/81. These are provided as background material which, together with the 2/17/81 Briefing Book for the Work Group provide the full record of the work of the Evaluation Task Force Implementation Work Group and its antecedents.

AN ISSUE DRIVEN EVALUATION SYSTEM

SMALL GROUP # 1

UNITED STATES GOVERNMENT

Memorandum

N. Vreeland
PPC/E/PES

TO : See Distribution

DATE: April 23, 1981

FROM : NE/DP/PAE, Richard Rhoda *RR*

SUBJECT: Proposed Issue-Driven Evaluation System for AID

The "small group" assigned the task of describing an issue-driven evaluation system has reached a bit of an impasse. All persons concerned with this effort are encouraged to attend a meeting on Thursday, April 30 at 2:30 p.m. in Room 6439 IS to stimulate additional thinking on the topic, clarify the nature of the task, redirect the effort, and reassign responsibilities.

Let me thank the people who gave me their comments on the first draft. The comments were generally constructive. However, I'm not sure that the second draft is any better than the first. The draft paper is an attempt to provide useful input for the Work Group assigned to identify a means for implementing the recommendations of the Task Force. I cannot tell whether this brief paper is useful because I do not have a sharp picture of the task I was assigned (or volunteered for), or even the consensus view of the Work Group or the position of the Task Force with regard to the evaluation system envisioned. My confusion probably stems from my failure to understand why a new AID evaluation system is needed. My continuing belief that the Task Force recommendations essentially can be implemented within the existing AID evaluation system hampers my ability to describe the new system envisioned by the Work Group.

In conclusion, I doubt whether I effectively can produce a third draft that is any improvement on the first two because I don't understand clearly the assignment and doubt whether a new issue-driven system is required. In other words, I lack the ability and desire to continue; it appears that someone else will have to take over.

Attachment:

Second Draft: Proposed Issue-Driven System for AID

DISTRIBUTION:

PPC/PDPR/HR:JWelty

NE/TECH/SA:GKerr

ASIA/DP:MNorton

PDC/PMS:JGilmore

AFR/DP:HMiles

LAC/DP:BGoldstein

DS/PO:FCampbell

PPC/E/PES:NVreeland ✓

NE/PD:DMandel

PPC/E/PES:MHageboeck

PPC/E/S:RB1ue



DRAFT

NE/DP/PAE:RRhoda:lcr:4/23/81:X29136

Second Draft

Proposed Issue-Driven System for AID

I. Purposes of this Paper

1. Define "issue" in this context.
2. Define "issue-driven evaluation system."
3. Specify ways to:
 - a. Identify issues.
 - b. Decide when an issue should be addressed by an evaluation rather than by alternative means.

II. Assumptions

1. Administrator's Evaluation Task Force and Work Group have concluded that AID should have an issue-driven evaluation system.
2. The Task Force and Work Group feel that the existing AID evaluation system (both as described in handbooks and guidance and as practiced) does not constitute an acceptable issue-driven evaluation system.

III. A Spectrum of Possible Evaluation Systems

In any evaluation approach, decisions must be made concerning who is responsible for initiating and conducting the evaluation, what and when to evaluate, and how comprehensive the evaluation should be. There is a broad spectrum of methods for making who, what, when, and how decisions concerning evaluation. At one end of the spectrum is the mechanical approach, at the other is the decision-driven approach. The issue-driven system envisioned by the Task Force is between these two extremes.

With a purely mechanical system, the who, what, when and how decisions are made once and for all at the outset and become standard evaluation procedures which are mechanically applied to all activities. For example, a mechanical evaluation system for AID might dictate that all projects receive: (1) annual routine evaluations conducted by the Mission, and (2) in-depth evaluations by outsiders every three years.

With a purely decision-driven system, evaluations are undertaken in response to decisions that have to be made. At the extreme, evaluations respond only to specific decisions for which the decisionmaker and point at which the decision has to be made could be specified. A less extreme example is a system in which evaluations respond to a general set of potential up-coming decisions which the Agency may have to make.

An issue-driven evaluation system is somewhere between the mechanical and decision-driven systems. It is unlike the mechanical system in that evaluations in the issue-driven system respond to issues and not a set of predefined rules. It is more similar to the decision-driven system but less concrete because it focuses on issues which potentially may feed into numerous future decisions rather than specific decisions which must be made.

IV. What is an Issue

Before going any further, an acceptable definition of the word "issue" is needed. The definition from Webster's which seems most appropriate is: "a matter that is in dispute between two or more parties; a point of debate or controversy." In the AID context, this definition might be expanded to say: a matter or topic about which we have insufficient information to reach a conclusion. Even if nobody is directly challenging

a statement or assertion, it may be an issue if it is based on insufficient evidence and potentially can be challenged. Given this general definition of an issue, a large number of issues can be identified; for example, all the assertions that appear in the AID legislation, CDSSs, handbooks, PPs, etc.

Issues can range from the very general to the very specific. Six examples of issues ranging from the most general to the most specific are provided here in an attempt to clarify the discussion.

1. Is the new directions approach an obstacle to AID's efforts to stimulate self-sustaining development?
2. Should AID continue to support basic education projects? What are the characteristics of successful and unsuccessful projects?
3. Can AID effectively capitalize on the remittances from workers in oil rich Gulf States who have migrated from AID countries? What catalysts or constraints to rapid development are provided by the absence of male migrants from villages or the rising expectations of the migrants?
4. What are the crucial problems with the health project in country X? Can the problems be overcome by redesigning the project or changing the basic approach to implementation? Should the project be terminated?
5. The education project in country Y is considered a success, but is it really having the intended impact? Can the impacts be objectively documented? Should AID support a follow-on activity?
6. Why haven't the pumps for the irrigation project arrived? What can be done to speed delivery of the pumps?

V. Identifying Priority Issues

Moving from lists of issues to rank ordering of priority issues is the next step in the process. In AID, decisions concerning the ranking of priority issues have been made by senior ^{Mission Director's Agency} management with considerable input from their staffs. We can expect a continuation of this approach, which was used to identify evaluation issues for the Administrator's Impact Evaluation Series, and by the ASIA and PDC Bureaus to identify key issues for their evaluations.

VI. Identifying What Issues Should be Addressed by Evaluation

After priority issues are identified, the next step is deciding which issues ought to be addressed by evaluations and which should be addressed by alternative means. This question must be addressed on a case by case basis. As a general rule, evaluations can address only issues related to previous Agency experience. Some research issues, such as number 3 above (Gulf States migration/remittances), are not suitable for evaluation because they do not involve previous AID experience. Other issues, such as number 1 (new directions as an obstacle to development), may not be appropriate for Agency evaluation because they question AID's mandate and thus may be beyond Agency decision-making authority. Very specific project issues may be important but are better addressed through monitoring rather than evaluation - for example issue 6 above (delay in arrival of irrigation pumps).

All issues which may be addressed appropriately by evaluation pertain to topics for which AID has direct experience. The issues may range from general Agency policies to basic questions about a specific project. Issue 2 above (continued support of basic education projects) is an example

of an Agency policy issue appropriate for evaluation. Issues surrounding a set of similar projects also are appropriate for evaluation - for example, the impact and sustainability of AID assisted municipal development institutes in Latin America. Issues involving project design, review or implementation processes also are suitable topics for evaluation - for example, the potential and actual success of the logical framework as a tool for AID project designers or the effectiveness of the fixed amount reimbursable (FAR) mode of implementation. Since AID activities are dominated by discrete projects, perhaps the largest number of issues appropriate for evaluation pertain to individual projects. Examples include issues 4 and 5 above (problems with a health project and documenting the success of an education project). While evaluations may continue to focus primarily upon the basic issues of individual projects, a careful distinction is needed between project evaluation and project monitoring.

VII. Conclusion: An Issue-Driven Evaluation System

An issue-driven evaluation system is one in which evaluations are initiated in response to priority issues (instead of either mechanically scheduled or in preparation for making a specific decision). Senior managers, with input from their staffs, are responsible for identifying the priority issues which require investigation. Of these issues, the ones which can be investigated appropriately using evaluation become the basic focus of evaluation planning activities.

Agency for International Development
Advice of Program Change

Country:	Egypt
Project Title:	Basic Education
Project Number:	263-0139
Data Base Reference:	Near East Programs, p. 22
Appropriation Category:	Economic Support Fund
Life of Project Funding:	\$45.0 million
Intended FY 81 Obligation:	\$45.0 million

This is to advise that A.I.D. intends to obligate \$45.0 million for the subject project in FY 1981 rather than \$21.0 million as previously indicated in the Data Base. The life-of-project cost is also increased from \$21.0 million to \$45.0 million. Since the FY 81 CP and Data Base were prepared, revised statistical data indicates the number of classrooms required to meet estimated demands is higher than originally projected, so the scale of the project has been increased accordingly.

A revised Activity Data Sheet is attached.

EVALUATION PLANNING

SMALL GROUP # 2

UNITED STATES GOVERNMENT

Memorandum

TO : PPC/E/PES, Ms. Molly Hageboeck

DATE: April 29, 1981

FROM : LAC/DP/PPE, Bernice Goldstein
DS/PO, Frank Campbell

SUBJECT: Draft Report of Working Group on Evaluation Planning

Attached is our draft report on Evaluation Planning, covering both substance and process. We initiated our discussions and developed the attached draft in the absence on TDY of other members assigned to our small Working Group.

We are not able to carry our work any further, since very basic issues remain to be resolved, for which we need the views of the full Working Group, i.e., agreement on terminology, relationship to other action assignments including what is meant by an "issue-driven" approach, evaluation reporting formats, etc. We recommend that you either circulate the draft for review and comment to the full Working Group and/or that we meet soon again to see how the various pieces are going to fit together.

Attachment
a/s

cc: PPC/E/PES, NVreeland
PPC/E/S, RBlue
ASIA/DP, MNorton



EVALUATION PLANNING

I. Introduction

Our discussion of evaluation planning in AID is based on certain assumptions:

1. "Evaluation" refers to true evaluation (not monitoring or implementation review, which often is called evaluation). As we develop guidelines, formats, procedures, etc., we should try to simplify the unnecessarily complex classification of types of "evaluation" currently in use and aim for some precision and agreement in our terminology. For example, we would like to clarify and/or eliminate from our vocabulary terms like "routine," "regular," "special," "in-depth."

Basically what we are talking about in the following discussion of the AID evaluation planning process are two broad categories of evaluation:

1) Interim/Ongoing/Formative. Undertaken during implementation, this kind of evaluation at a minimum would challenge and clarify the original project design and the assumptions under which the project operates; would measure actual compared with planned progress; would explain results, both planned and unplanned. The process would make use of the logical framework. Certain issues could be examined more deeply if these required resolution. The interim/ongoing/formative evaluation could be undertaken as planned in the original PP Evaluation Plan, or could be triggered by special circumstances. It could apply to a single project or to multiple projects or a sector/sub-sector program.

2) Terminating/Completion/Ex-Post/Summative. This kind of evaluation would be carried out when the project is near its completion or on an ex-post basis. It would attempt to "sum" things up and would measure the impact of

the project on some program, sector or economy to which it was to have contributed. It would be concerned with the difference the activity has made in the lives of the target population and would attempt to answer questions like: What socio-economic effects took place as a result of the project? Are project effects found beyond the original implementation area (spread effect)? Was the project followed up and expanded by national or other donor efforts (replicability)? Were changes brought about by factors other than the project (alternative explanation)? What lessons have been learned of relevance to other AID projects? As in the case of interim/ongoing/formative evaluation, the terminating/completion/ex-post/summative evaluation could be undertaken as anticipated in the original project design or could be carried out as a result of a later decision; it could apply to multiple projects or sector/sub-sector programs, as well as to a single project.

Criteria governing the utilization of one or both of the above described evaluations will have to be developed; and procedures for implementing such evaluations and reporting them will have to be worked out.

If we can reach agreement on what evaluation really is, in the context of Agency usage, and if we can educate ourselves and our colleagues as to evaluation's true nature, then much of what currently passes for evaluation will become part of a management information system, separate from the evaluation system.

2. Since project management will continue to be a major concern to Missions and Regional Bureaus, management's need for interim (formative)

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 to be included in this
 by way of being possible to
 to put it together for them!

evaluation should continue to be an important part of any revised Agency evaluation system. Similarly, Mission and AID/W need for evidence of impact will have to be given increased attention through improved efforts at completion (summative) evaluation.

It follows that AID project management should be responsible for evaluating all AID funded activities at least once during project lifetime, i.e., during implementation and/or at completion. (Missions will, of course, want to continue to carry out monitoring and management reviews more frequently); some projects will also be evaluated on an ex-post basis. Exceptions to this requirement for evaluation during project life will have to be determined on a case by case basis (criteria and procedures to be worked out).

NOTE: We believe this position is consistent with Task Force Recommendation No. 5 "...In the selection of activities for evaluation through a planning process, an evaluation need not be required for all projects."

3. Our third assumption is that all project design will continue to incorporate evaluation elements (making use of logical frameworks) and will include evaluation plans.

NOTE: There is a need throughout the Agency for improved understanding of the logical framework methodology and skill in its use.

Based on the above assumptions and using the above definitions, and also acknowledging that a final draft will have to take into account the write-up of an "issue-driven" approach, we suggest the following planning

process, at the project-specific, Mission, Bureau, and Agency levels:

II. Project-Specific Evaluation Plan

At the time of project design, project developers and designers (including social scientists who participate in project development) together with Mission management should make preliminary judgments as to the kind of evaluation which would be appropriate for the project. According to criteria to be established, the project-specific evaluation plan would spell out the rationale for the evaluation, assure adequate funding, indicate frequency and level of effort to be undertaken. (A pilot project, a Phase I project, a project which has replication as its major justification, and a project that is experimenting with or demonstrating new technologies would clearly require careful evaluation). Since subsequent events and information needs may also call for evaluation activities not anticipated at the time of design, the evaluation plan together with the logical framework of all projects should meet certain standards that will ensure that the project is "evaluable." Attachment No. 1, "Evaluation Plan Checklist," together with the material in the August 1980 draft Evaluation Handbook provide a basis for drafting more specific guidelines on what constitutes a good project-specific evaluation plan and for addressing the issue of baseline data and project monitoring data. An evaluation plan should be developed in preliminary form at the PID stage; the plan would be elaborated in the PP and could be incorporated in the project agreement. The plan may be further refined prior to actual evaluation.

III. Mission Evaluation Plan

As recommended by the Task Force, the Mission's evaluation plan, at a minimum, should look two years into the future, subject to annual review and revision. The process should begin with the early identification of key policy and program issues which the Mission wishes to have addressed over a three to five year period. The planning process should be linked to the AID programming cycles, especially preparation and review of the Country Development Strategy Statement (CDSS) and the Annual Budget Submission (ABS). In this way, the CDSS could identify program issues requiring evaluation; and evaluation results could be used to influence or justify changes in development strategy and programs. Similarly, evaluation planning could identify evaluation funding requirements, either through specific project budgets or through PD and S funds, both reflected in the ABS. Attachment No. 2 proposes a timetable designed to strengthen the connections between the various AID planning processes.

The Mission evaluation plan should reflect not only the project-specific and multiple project (sector or subsector) evaluations which the Mission proposes to undertake during the planning period, but also should identify Mission information needs, e.g., for future program development, that will have to be met from sources outside of the Mission's portfolio. These needs could be met from existing Agency information (DIS or Bureau information) or by studies to be carried ^{out} elsewhere in the Bureau or Agency. Identifying and reporting these information needs will facilitate the transfer of experience within the Bureau and will also help AID/W establish priorities

for planning AID/W evaluation activities. Attachment No. 3 proposes a format for the submission of a Mission's annual evaluation plan.

IV. Bureau Evaluation Plan

As in the case of Mission evaluation planning, individual Bureaus should identify key policy and program issues to be addressed over a three to five year period. In this process, the Bureaus would draw on CDSS submissions and an analysis of Mission evaluation plans, as well as Bureau-specific policy and program planning concerns. The Bureau evaluation plan should cover two years and identify evaluation activities to be undertaken by the Bureau either in collaboration with individual Mission efforts (e.g., incorporating Bureau concerns into Mission scopes of work) or as an AID/W activity. The Bureau plan would also provide an opportunity for Bureaus to promote collaboration among individual Mission that are proposing efforts in the same project area (e.g., addressing common substantive questions).

V. Agency Evaluation Plan

The Agency Evaluation Plan, to be developed by PPC/E in collaboration with the Bureaus, would build on the aggregation of Bureau evaluation plans. In this process, PPC/E would identify common issues being addressed across Bureaus which might be susceptible to collaboration either among Bureaus or with PPC/E. The Agency plan would also include PPC/E-initiated studies, designed to meet Agency-wide policy/program information needs not otherwise being addressed by evaluation activities planned by the Bureaus and Mission during the planning period.

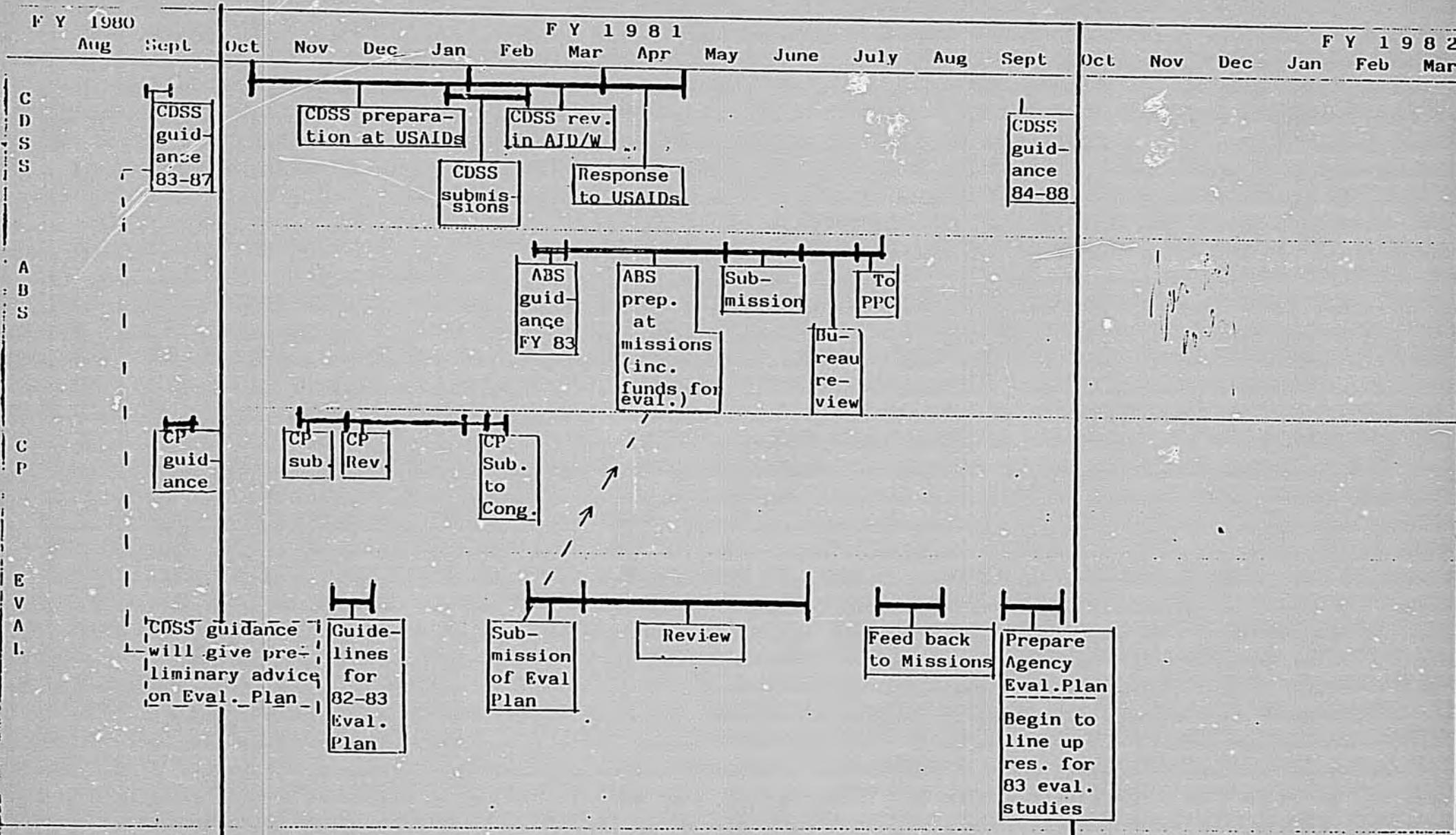
Attachments:
a/s

EVALUATION PLAN CHECKLIST

1. The plan includes a rationale for evaluation, i.e., why evaluation is planned; what issues it will address; what specific questions it will be expected to answer.
 2. The plan specifies the approximate frequency of evaluations; these are scheduled to coincide with critical project decisions.
within time to review
 3. The organizations and/or officers responsible for conducting the evaluation are clearly identified.
 4. The plan clearly addresses host country participation in the evaluation process, including such activities as planning for the evaluation, data collection and analysis, and actual evaluation review.
 5. If orientation and training in evaluation concepts and methods are warranted for those responsible for conducting the evaluation, estimates of the amount and costs, as well as the timing, are included.
 6. Provision has been made and responsible parties identified for the collection of data (including data from a control area/group, if appropriate) necessary for evaluation purposes.
 7. Provision has been made for the procurement of outside assistance in connection with data gathering and/or evaluation, if appropriate.
 8. Provision has been made for ex post evaluation, if appropriate. *→*
 9. The overall evaluation plan, e.g., the scope, frequency, intensity and required resources, is appropriate to the size and complexity of the project.
- 25*

EVALUATION PLANNING IN THE PROGRAM CYCLE

26



12

EVALUATION PLANS FOR OPERATIONAL YEAR 1982

I. Regular Evaluations of On-going Projects (formative, PES-type evaluations)

Proj. No. & Title	Imp. Dates Start - End	Date Last PES	Evaluation Begins	Est. Cost	Est. Date PES Submission	Comment

II. Regular Evaluations of Terminating or Completed Projects (Summative, PES-type) (NOTE: Could be replaced by Proj. Comp. Repo

Proj. No. & Title	Imp. Dates Start - End	Date Last PES	Evaluation Begins	Est. Cost	Est. Date PES Submission	Comment

III. Special, Issue-related or "Lessons Learned" Evaluations; Interim, final or ex-post; Project, multi-project, or sub-sector

Project or Activity Identification	On-going Final Ex-post	Team Identified?	Est. Start Date	Est. Cost	Source of Funds	Purpose of Eval. or Comments

EVALUATION PLANNING FOR ABS YEAR FY 1983

I. Based on CDSS and other special Mission interests, what special studies are being contemplated for FY 1983? Studies may involve on-going, planned or ex-post activities.

A. Mission initiated studies: List by project, sub-sector or sector activity; give purpose of study/evaluation or information being sought; describe present thinking on how study will be carried out and whether funds are in FY 1983 ABS PD&S request or in project allocation. Is AID/W participation or assistance planned or desirable?

B. Suggestions for topics to be included in AID/W impact evaluation planning for FY 1983.

II. What information should AID/W supply to assist the planning and definition of studies listed in I.A. above? E.g., other Mission evaluations, model scopes-of-work, DS/DIU information, TDY assistance etc.

EVALUATION FINDINGS: SYNTHESIS AND EVALUATION REPORTS

SMALL GROUPS # 3(a) & 4

June 1, 1981

NOTE

Ms. Molly Hageboeck
PPC/E/PES

Molly,

Assignment 4 was drafted by Graham Kerr and benefitted from two meetings attended by Frank Dimond, Maureen Norton, Bernice Goldstein, Nena Vreeland and myself. Some of us may have a few additional comments, but that can await our review of the whole package.



Bob Berg
AAA/PPC/E

cc: Mr. Dimond, AFR/DP
Ms. Norton, ASIA/DP
Ms. Goldstein, LAC/DP
Ms. Vreeland, PPC/E/PES
Mr. Kerr, NE/TECH

ACTION BOARD WORKING GROUP ASSIGNMENT 4 - (some ideas)

The Contents of Evaluation Reports and Their
Subsequent Synthesis

I. INTRODUCTION

Prior to outlining the contents of the evaluation report it is important to clarify the difference between monitoring and evaluation.

Monitoring is an essential, but often neglected aspect of the implementation of all projects. It is the basic component of good management. A.I.D. project officers are responsible for arranging for adequate monitoring of each of their projects to assure both the substantive direction of monitoring by host country/organization counterparts and that an appropriate flow of data comes to A.I.D. The latter should assure that the responsible A.I.D. officers in the field or Washington will be able to provide a complete status report of the project within five working days of being asked for a report. The purpose of monitoring is to tell us if the resources (inputs) are being delivered to the project site(s) and are they being managed to produce the planned outputs; monitoring keeps track of the input-output relationship and also warns of deeper problems that need more detailed attention by project management.

Good communication between all parties involved in, or affected by, the project must be a part of its monitoring. Representatives of all parties: host government, contractor,

USAID and AID/W staff, should participate in regular meetings to review monitoring reports. To the extent possible, thought should be given to involving participants (beneficiaries) at least as points for data collection, but in some cases possibly as participants in the regular review of projects.

The basis for adequate monitoring is a well-designed, operating management information system which supplies relevant information to beneficiaries, implementation managers and A.I.D. project officers.

Evaluations tell us if projects are bringing about development in the desired way. They look at the project in greater depth and seek to answer the questions, "Is this project achieving its purpose(s)?; Is the project making a valuable contribution to development?; Is the development hypothesis upon which the project is based sound?; What lessons can be learned from this project for future policy and programs?"

The group assigned to draft this action is divided as to the purpose for evaluations. Some believe that evaluations should be done for quality control and/or for policy and program decision-making. In this view, either or both rationales are sufficient to conduct an evaluation. Others in the group believe that evaluation should only be conducted to collect information for policy and program decision-making. Since the former view is standard practice in the Agency, this paper will present the rationale for the latter view. The formats suggested for evaluation reporting do not essentially differ, in any case.

Rationale for evaluation only for policy purposes.

Evaluations collect information for policy and program decision-making. They should be conducted when policy-makers in the Agency have specific issues and questions which can be answered by evaluating selected projects. Evaluations should not be done as a matter of routine because they consume too many of the Agency's resources and also produce far more information than the Agency can use - (too many evaluations go unread by the Agency staff). A project should only be evaluated, provided that it is adequately monitored, when it can contribute information to the discussion of a policy issue, or a project extension is anticipated and an assessment of the project's value is needed by Agency management. The redesign of a current project should not be the occasion for an evaluation, but should be indicated by the information from the monitoring and management information system. It should then be handled by a redesign team, rather than an evaluation team, followed by a redesign team, as often happens at present.

It is understood, regarding the latter point, that an evaluation team might well carry out redesign work should that work appear necessary during the course of an evaluation.

Based upon the above considerations the evaluation summary should be tailored specifically to meet precise agency information requirements.

Note the outline presented below concerns only the summary of the evaluation report - not the evaluation report which should provide the details of the evaluation.

Part I of the present PES form (AID 1330-15,15A,15B), which records basic project identification and financial data, and actions to be taken as a result of the evaluation is more suited to a monitoring report, as conceived above, and should be retained for that purpose. It is more appropriate for an evaluation summary to present the "lessons learned" first - as this is the key information needed by the agency managers, and programmers who are (should be) the primary users of evaluations. Additional information should only be included in the summary if it is needed to give essential support to the lessons learned and establish the content of the evaluation. The entire summary should be entered into the DS/DIU's computerized data base and thus should be succinct. The contents will be analyzed and coded with keywords so that it can be retrieved as required.

The full evaluation report should be kept at DS/DIU on microfiche so

that it can be made available to any agency officer on short notice after its usefulness has been established by a review of the summary.

II. The Purposes of the Summary

1. Provide a record of lessons learned from evaluations for policy and program planners, and project design officers.
2. Provide the basis for a synthesis of agency experience, in various sectors and with important development issues, that can be used to answer questions from host governments, other agencies, the Congress, the public and the press.

III. The Contents of the Summary

Part I (existing form on next page).

This should be modeled closely on A.I.D. Form 1330-15, with the following items being retained:

3, 5, 6, 7, 12.

1, 2 should be combined and enlarged to allow several project numbers and titles to be recorded.

Section 4 should be enlarged to include information on the timing of the evaluation and its level of analysis.

I. Was the evaluation done:

- during the project/program
- at the end of A.I.D.'s funding
- after A.I.D.'s involvement/funding ended

II. Level of analysis would indicate which of the following the evaluation considered:

- single project multiple projects
- sector/program in one country
- country program
- several countries

9, 10 can be eliminated, as contents will be covered in new section 8.

Section 8 should present for the policy and program planners, the lessons learned from the evaluation regarding the issue(s) being investigated. In this space the implications of the project experience for future policy and other projects, should be briefly stated. There is no requirement that this section be filled out. It is only to be used when the evaluation surfaced lessons applicable beyond the project's last program being looked at.

2/80

In the case where current projects are being evaluated in order to decide about an extension or solve a major design or implementation problem, the recommendations for future agency action and the officers responsible for those actions, with action dates, should be noted in Section 8, in much the way as is done in the present form.

Another section should be added to indicate whether other donor activities were examined. It should include the donor acronym(s).

Section 11 should be enlarged so that all team members, together with their A.I.D. office and professional area of expertise, can be entered.

Part II - Form 1330-15A- next page

This section will summarize all the information required to explain and substantiate the lessons learned which are noted in Section 8 on the front page. It should be presented briefly - concentrating upon information that is needed and will be used by most readers. Hopefully the entire summary can be entered into the agency computer files so that it will be readily available to a reader. The summary would be made available to staff after they have identified the evaluation as being useful from a review of the abstract.

~~SECRET~~ EVALUATION SUMMARY (DES) - PART I

1. PROJECT TITLE 2. PROJECT NUMBER 3. MISSION/AID/W OFFICE

ENLARGE TO COVER MORE THAN ONE TITLE

~~4. EVALUATION NUMBER (Enter the number maintained by the Reporting Unit, Country or AID/W Administrative Code, Fiscal Year, Serial No., Building Unit No., and Month/Year)~~

~~REGULAR EVALUATION SPECIAL EVALUATION~~

ONLY FOR PROJECT APPROVAL

5. KEY PROJECT IMPLEMENTATION DATES: A. First PRO-AG or Agreement FY, B. Final Obligation Expected FY, C. Final Fund Delivery FY. 6. ESTIMATED PROJECT FUNDING: B. U.S. \$, C. Other (Country/yr.). 7. PERIOD COVERED BY EVALUATION: To (month/yr.), Date of Evaluation Review.

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues, cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIO, which will present detailed request.)

B. NAME OF OFFICER RESPONSIBLE FOR ACTION

C. DATE ACTION TO BE COMPLETED

1. ACTIONS FOR PROJECT / PROGRAM MANAGER(S)

2. RECC. ACTIONS FOR OTHERS (e.g. POLICY; DESIGNERS OTHER PROJECTS)

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS

- Project Paper, Implementation Plan, Other (Specify)
 Financial Plan, PIO/T
 Logical Framework, PIO/C, Other (Specify)
 Project Agreement, PIO/P

10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT

- A. Continue Project Without Change
B. Change Project Design and/or Change Implementation Plan
C. Discontinue Project

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER BANKING PARTICIPANTS AS APPROPRIATE (Name and Title)

EVALUATION TEAM: NAME; AFFILIATION; DISCIPLINE

12. Mission/AID/W Office Director Approval

Signature: [Blank]
Typed Name / DATE: [Blank]
EVALUATION OFFICER SIGN-OFF

PROJECT EVALUATION SUMMARY (PES) – PART II

The following topics are to be covered in a brief narrative statement (averaging about 200 words or half a page per item) and attached to the printed PES facesheet. Each topic should have an underlined heading. If a topic is not pertinent to a particular evaluation, list the topic and state: "Not pertinent at this time". The Summary (Item 13) should always be included, and should not exceed 200 words.

13. SUMMARY - Summarize the current project situation, mentioning progress in relation to design, prospects of achieving the purpose and goal, major problems encountered, etc.

14. EVALUATION METHODOLOGY - What was the reason for the evaluation, e.g., clarify project design, measure progress, verify program/project hypotheses, improve implementation, assess a pilot phase, prepare budget, etc? Where appropriate, refer to the Evaluation Plan in the Project Paper. Describe the methods used for this evaluation, including the study design, scope, cost, techniques of data collection, analysis and data sources. Identify agencies and key individuals (host, other donor, public, AID) participating and contributing.

15. EXTERNAL FACTORS - Identify and discuss major changes in project setting, including socio-economic conditions and host government priorities, which have an impact on the project. Examine continuing validity of assumptions.

16. INPUTS - Are there any problems with commodities, technical services, training or other inputs as to quality, quantity, timeliness, etc? Any changes needed in the type or amount of inputs to produce outputs?

17. OUTPUTS - Measure actual progress against projected output targets in current project design or implementation plan. Use tabular format if desired. Comment on significant management experiences. If outputs are not on target, discuss causes (e.g., problems with inputs, implementation assumptions). Are any changes needed in the outputs to achieve purpose?

18. PURPOSE - Quote approved project purpose. Cite progress toward each End of Project Status (EOPS) condition. When can achievement be expected? Is the set of EOPS conditions still considered a good description of what will exist when the purpose is achieved? Discuss the causes of any shortfalls in terms of the causal linkage between outputs and purpose or external factors.

19. GOAL/SUBGOAL - Quote approved goal, and subgoal, where relevant, to which the project contributes. Describe status by citing evidence available to date from specified indicators, and by mentioning the progress of other contributory projects. To what extent can progress toward goal/subgoal be attributed to purpose achievement, to other projects, to other causal factors? If progress is less than satisfactory, explore the reasons, e.g., purpose inadequate for hypothesized impact, new external factors affect purpose-subgoal/goal linkage.

20. BENEFICIARIES - Identify the direct and indirect beneficiaries of this project in terms of criteria in Sec. 102(d) of the FAA (e.g., a. increase small-farm, labor-intensive agricultural productivity; b. reduce infant mortality; c. control population growth; d. promote greater equality in income; e. reduce rates of unemployment and underemployment). Summarize data on the nature of benefits and the identity and number of those benefitting, even if some aspects were reported in preceding questions on output, purpose, or subgoal/goal. For AID/W projects, assess likelihood that results of projects will be used in LDC's.

21. UNPLANNED EFFECTS - Has the project had any unexpected results or impact, such as changes in social structure, environment, health, technical or economic situation? Are these effects advantageous or not? Do they require any change in project design or execution?

22. LESSONS LEARNED - What advice can you give a colleague about development strategy, e.g., how to tackle a similar development problem or to manage a similar project in another country? What can be suggested for follow-on in this country? Similarly, do you have any suggestions about evaluation methodology?

23. SPECIAL COMMENTS OR REMARKS - Include any significant policy or program management implications. Also list titles of attachments and number of pages.

The following topics should be addressed in the summary:

- a) Abstract of the evaluation
- b) The reason(s) for doing the evaluation
- c) The evaluation methods
- d) The reason(s) for doing the project/program
- e) The findings and conclusions from the evaluation which pertain just to the project's last program being evaluated.
- f) The lessons learned which pertain to projects and programs beyond those which were evaluated. For example, how should the Agency's policies and programs be reinforced or changed as a result of the findings and conclusions from the evaluation.
- g) For project's only: attach the logical framework on which the evaluation was based and any revised logical framework created as a result of the evaluation.

a) Abstract of the Evaluation

The abstract is not a complete summary of the evaluation. It is a guide to people who may want to read the summary and/or the full report and should tell them, very succinctly, the contents of the evaluation.

The abstract should contain a sentence (or two at the most) on the following topics:

- i. the reason for doing the evaluation
- ii. the evaluation methods

iii. the development hypothesis underlying the project
(based upon the logical framework, where applicable)

iv. the topics covered in the findings, conclusions
and lessons learned.

The findings, conclusions and lessons learned, should not be presented in this latter section. Only the issues, problems and policies discussed in this part of the evaluation should be listed so that the reader who is reviewing the abstract will know that the evaluation contains information that may be useful to him/~~her~~.

b) The Reason(s) for Doing the Evaluation

A brief statement of why the evaluation was done should be given. If a scope of work was developed prior to the evaluation, a synthesis and/or the major issues and problems addressed during the evaluation can be listed. Was the evaluation to ~~articulate~~ ^{CONTRIBUTE} information to a policy and program issue posed by agency management? Or, was it to help to solve a project specific question concerning extension, or a serious implementation problem?

c) The Evaluation Methods

Present the essential details about how the evaluation was conducted.

- i. Team membership, with office and professional affiliations has been presented on the face sheet of the summary.
- ii. A brief chronology of the evaluation
- iii. Methods used to collect data: document review, site visits, interviews with project staff and/or beneficiaries, etc.

d) The Reason(s) for Doing the Project/Program

Describe the conditions which produced the need for the project.

What "development" was the project designed to bring about? What is the development hypothesis(es) being tested by the project?

(This should be linked to the logical framework, wherever possible.)

What has to be changed for us to say that "development" has happened and what does the project propose to change in order to cause the desired "development?" For example, the "development" hoped for is "improved health" and the project will do the following: (a) assist local organizations develop and manage their own health programs, (b) assist communities construct appropriate health facilities, train staff and establish drug supply systems, (c) start sanitation projects and health education, (d) organize feeding programs and nutrition education, etc.

e) The Findings and Conclusions about the Project/Program

This section presents details of the results of the project/program. They may be physical changes in the environment, such as buildings and equipment, or they may be changes in people's behavior brought about by the project/program. In order to be considered "findings" the evaluation team must be able to link the results directly to project/program activities--the "findings" are a summary of the consequences of the project/program activities as seen by the evaluation team.

Both intended--those specified in the project/program design--and unintended results should be recorded. Often, fundamental questions not asked during the design phase which need to be answered.

For example:

Who benefitted--farmers, landless laborers, women, children, rich people, poor people--and how?; income, education, social mobility.

What were the economic and social costs and how were they allocated? This may involve both "hard" economic data and qualitative data at both the personal and societal level. Wherever possible a cost-benefit conclusion should be reached, or at minimum, a comparison of costs and benefits.

Were there environmental consequences? Specify.

Were there "access" benefits, such as access to markets through roads, or access to health, or to agricultural inputs?

What were the institutional and organizational changes brought about by the project/program?

What did women do in the project?

How were women affected by the project--both as members of the project staff and as beneficiaries?

Is appropriate technology--both hardware and software--being used?

Analysis of the findings should not be included in the summary because it will present more detail than most readers will need. It is, however, an essential part of the full evaluation report.

Conclusions about the activity (IES) which were evaluated, based upon the findings, should be presented in this section. Conclusions should be project/program specific and tell us what to do with this project--and, to a certain extent, with other very similar projects.

f. The Lessons Learned - these are included in Section 8, earlier in the report. They may be written out more fully in this part of the summary.

Here the evaluation team looks beyond the specific project being studied and thinks through the implications that the findings and conclusions have for broader policy and programs. In this section the team should address the policy issue(s) which were stated as the reason for doing the evaluation. In this way the evaluation (feedback) loop^{of} is completed, and the agency is learning from its past experiences.

It is particularly important that findings about the development hypothesis be stated.

Notwithstanding the above, it is expected that not every project will have a development lesson applicable throughout the Agency or to wide parts of the Agency. Care should be taken not to over-extend the findings from the evaluation. If the evaluation provides information that can be used to address additional issues, these should be reported at this point if they are important enough to warrant most readers' attention.

g) The Logical Framework of the Project

The most recent logframe for the project should be attached to the summary. Often, this will be the logframe as clarified at the beginning of the evaluation. If there is a logframe which has been revised as a result of the evaluation that, too, should be attached. Wherever the logframe provided in the project paper is inadequate or badly dated, it should be revised by the team. If goal and purpose statements are proposed to be changed in any way, a formal amendment to the project will usually be necessary. Inputs and outputs can be revised (again, noting any implications to formal agreements) as can any necessary changes in verifiable indicators, assumptions or the development hypothesis...all of which should be discussed briefly.

This completes the summary of the report written by the evaluation team.

The mission and/or AID/W may wish to add the following sections to the summary:

h) The Quality of the Evaluation

For mission evaluations, a comment by the mission evaluation officer regarding the usefulness of the evaluation would be helpful. Similarly, for Washington evaluations, a comment by the bureau evaluation officer on the usefulness of the evaluation would be helpful.

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i) Complementary Findings

AID/W Regional staff may wish to add to a section to the summary indicating if other evaluations have studied similar issues and projects. A list of the "lessons learned" which are substantiated by similar results in other projects from a number of countries are much more useful to policy planners than isolated findings. This section will be the first step in the synthesis of lessons from a group of evaluations which address the same "issue" or development hypothesis.

IV. Synthesis of Evaluation Findings

The synthesis of the results of several evaluations are an essential part of the evaluation cycle. It is the most useful way of presenting findings and lessons learned to the policy and program planners in agency management because it combines the conclusions of several evaluation teams about the same issues, and/or similar development hypotheses being tested by our projects.

^a
Use of such/synthesis in the design of new projects will show Congress that we are learning from our past experiences and also should improve new project designs. Syntheses cannot provide specific guidance on the details of project organization and implementation because our projects have to be designed to fit a region, culture and country. They, however, alert us to topics and issues that should be addressed during the design and implementation of a project. Information about strategies which

have worked in other projects is also very useful.

The synthesis will indicate which development hypotheses have strong support, i.e., have worked in other circumstances, and those that have weak support. For example: does our experience indicate that "improved health" happens more often in projects where villages and local organizations are involved early in project design and implementation, than in projects when local groups are only asked to "cooperate" with the project after the planning has been completed? Or, what are the characteristics of a basic health care system which can continue (be sustained) after the project support has ended?

The synthesis can be organized around the issues being studied during the evaluations. Evaluations concerned with the same development issue or question are collected together (this is one reason why a clear statement of the issues is essential in the evaluation scope of work and the evaluation report).

Information and lessons learned about the issues are reviewed and summarized. Relationships between the desired development (project purpose) and the changes (project outputs) more directly related to the project, such as new buildings, new organizations, new training programs, and changes in people's behavior, are the ones which interest us. These are the development hypotheses upon which the project is based, and are being tested during the conduct of the project. A list of the expected relationships should be made and the relevant evidence from the evaluation reports recorded under each relationship. Other aspects of the project which bear directly upon ...

the relationship should be studied carefully and noted briefly in a discussion of each relationship. This information provides an indication of the conditions (economic, social and geographic) in which the relationship holds and those in which it does not -- crucial data for project design staff.

The synthesis will be an inventory of development propositions surrounding an "issue" and a brief discussion of each. A proposition is a statement based upon project experiences, which relates two variable concepts, such as "purpose" and "outputs". When evidence from several evaluations supports the proposition, it becomes useful in policy making and project planning.

UTILIZATION OF EVALUATION FINDINGS

SMALL GROUP # 5

memorandum

DATE: June 2, 1981

REPLY TO
ATTN OF: AFR/DP, Henry Miles, PPC/PDPR, John Welty,
PPC/E, Nena Vreeland

SUBJECT: Report of Group 5, Evaluation Utilization

TO: PPC/E/PES, Molly Hageboeck

The following are our recommendations for promoting the utilization of evaluative findings — and proving that findings are being used — through a set of actions and procedures that can be made generally consistent throughout the Agency. The fourth member of our group, Richard Rhoda, was on TDY and was unable to participate in the final preparation of this report.

Several of our suggestions call for strengthening the coordination functions of PPC/E and the Program Evaluation Committee (PEC). In a decentralized evaluation system — which we assumed would be continued — the promotion of utilization requires stronger coordination for at least two reasons. First, utilization involves exchange of information between, and not only within, Bureaus; Congress expects to see evidence of use of AID evaluation findings regardless of the source of this information. Second, the experience of one Bureau evaluation office in involving senior-level users (e.g., through establishment of an Evaluation Committee as in AFR) and in disseminating findings (e.g., AFR and NE preparation of abstracts, LAC newsletter) can help other offices in undertaking similar efforts.

We have attached a few examples that might be used to help establish some basic models for Agency-wide application. In general, we felt that the Agency needs more practical examples of what can be and is being done.

1. Why evaluate? There still seems to be some disagreement on this question. We suggest that AID make absolutely clear in guidance and reporting to Congress and others that our evaluation work is selective and user-oriented. It is not a comprehensive system which enables the Agency to measure progress and outcomes in cost/benefit terms for all its activities. It is a system designed principally to enable the Agency to learn from its experience, and to measure progress and outcomes on a sampled basis.
 - a. Bureau evaluation offices continue efforts to engage senior executives in evaluation planning, application of findings to program development, and evaluation support for activities authorized/approved in the field. Evaluation offices report to the Program



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

Evaluation Committee (PEC) on experience in involving senior executives and "translating" evaluation results into guidance/policy.

- b. PPC/E/S continues efforts to seek annually A/AID and AA agreement on Agency-wide concerns for evaluation, and reports to PEC on these efforts.

2. Evaluation Planning:

- a. Evaluation planning focuses on asking specific questions of selected projects/programs. Missions/offices describe in their evaluation plans not only the questions to be addressed in their own evaluation work but also their questions that would need information from other Missions/offices. Include this in annual guidance on evaluation planning.
- b. Evaluation plans clearly specify purpose/use of evaluation, in relation to ongoing projects/programs and their anticipated future direction as envisioned in strategy documents. Evaluations are realistically scheduled so that information will be available to the Mission (and others) to support decisions that users anticipate having to make. Evaluation plans specify "prime" users. Include these requirements in annual guidance on evaluation planning.
- c. Evaluation planning incorporates a "question-asking" process initiated by PPC/E (see below, "Asking the 'Right Questions' for Evaluation").

3. User Involvement:

- a. Since it is not feasible to establish linkages with every potential user of a specific evaluation before the study begins, evaluation offices attempt to i) select for continuing attention what they consider to be key evaluation efforts in relation to Bureau-wide program direction and emphasis; and ii) consider creating a rough "utilization plan" for their Bureau/office based on planned evaluation work.
- b. Bureau technical offices are involved in a process of further interpretation of evaluation findings at request of evaluation offices; they are contacted before PID and PP review meetings and supported during such meetings with evaluation evidence (see Attachment A).
- c. The Program Evaluation Committee (PEC) regularly invites types of users (e.g., DP program analysts, PPC/PB budget reviewers) to clarify their distinctive needs for evaluative information and critique evaluation studies.

PEC schedules at least two meetings every year to this question

- d. PID review/approval cable (which is also the PP guidance cable) identifies those factors which the user interests represented in the review will need to have reported on in an evaluation.
- e. PPC/E/S more clearly identifies the "prime" users of its studies, including impact evaluations it manages; the specific questions asked during the evaluation; and the procedures and time-tables for getting findings ("answers") to its prime users. PPC/E/S formulates Agency-wide evaluation concerns for ex-post evaluation not as "topics" but as problems or questions requiring evaluative information; ensures that these are the questions that effectively address user needs; and reports annually to its "prime" users.
- f. Bureau evaluation offices and/or PPC/E systematically check on the usability and usefulness of evaluations by providing summaries/abstracts to potential users and querying them as to what information they can use; how they would use it (e.g., CDSS preparation review, design of similar projects); and what information they might have used but was not covered in the evaluation.

4. Utilization Focus in the Programming Cycle:

Efforts to promote utilization concentrate on the pre-PP stages in the programming cycle, principally PID and feasibility studies. While it is also desirable for Project Paper development to utilize experience, particularly with the regard to specific implementation and management constraints, the selection from among alternative approaches that takes place at the PID stage is the most appropriate time to consider evaluation findings. Handbook 3 already calls for consideration of evaluations at the PID stage. A change in emphasis would primarily affect priorities in the work of Mission and AID/W evaluation offices. (See Attachment B for an example of an issues paper raising evaluation findings, and Attachment C for example of use of evaluation findings in PID). Conversely, Bureau evaluation offices invest fewer resources in reviewing project/program design documents.

5. Asking the "Right Questions" for Evaluation:

- a. Specific evaluations in the evaluation plan state the purpose of the evaluation and the set of questions to be addressed to meet this purpose. Otherwise, a study is not considered an evaluation and is not

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included in the plan.

- b. The PEC considers the feasibility of developing sets of basic evaluation questions and questions "generic" to certain types of development interventions. Mission advice, particularly with regard to host country question/concerns, is included in this effort.
- c. The evaluation plan included in project/program design documents (e.g., project papers) defines key assumptions, hypotheses and issues that ought to be investigated during an evaluation. Currently, these plans are more in the way of a schedule of work than an opportunity to describe substantive questions about the project/program. Revised "AID Evaluation Handbook" includes adequate guidance for preparing this aspect of project/program evaluation plans.
- d. In general, PPC/E initiates and maintains with Bureau evaluation offices a "question-asking" process by developing examples of questions which have surfaced from previous work, including "impact" evaluations.
- e. Specifically in the area of policy-related questions, procedures are established to ensure the following:
 - i. PPC/E identifies issues/questions reflecting the concerns of "users" at the policy level;
 - ii. Bureau evaluation officers transmit PIDs to PPC/E in good time for review (this action will have to be quick -- turn-around time between PID receipt in AID/W and the review cable ranges from 15 to 30 days).
 - iii. PPC/E selects in coordination with Bureau evaluation offices feasible candidates for evaluation of policy-related issues, and ensures that these issues are identified to the Mission/office for inclusion in the evaluation plan in the design document, feasible data requirements suggested, and estimates developed for inclusion in design document budget (e.g., project paper financial plan) to cover data collection and evaluation.
 - iv. PPC/E clears the review/approval cable for those PIDs selected in e. iii above.

Mally

6. Report Presentation:

- a. Revised guidance on submission of evaluation reports calls for short, self-contained summaries which at least describe the purpose of the project/program being evaluated (in terms of the development constraint or problem) and the purpose of the evaluation, questions/issues considered during evaluation, findings, conclusions, and recommendations.
- b. All evaluation studies/reports are submitted under a standard face-sheet; this requirement includes "impact" evaluations.
- c. All evaluation reports consist of a 2-3 page summary, and a 1-20 page "short form" of the report; as well as a longer report as necessary to explain in further detail the information, interpretation, and judgement on which conclusions and recommendations are based (see Attachment D for example). This model essentially follows the one used for "impact" evaluations.
- d. Standard "boilerplate" for inclusion in scopes of work for contracted evaluation studies is prepared to convey the above requirements. Identical wording is included in Agency-wide evaluation IQC scope of work, and in guidance on issuance of work orders under these IQCs.

7. Dissemination:

- a. Dissemination is made more effective (and less wasteful in terms of reproducing long reports) by the vigorous use of short summaries and one-page abstracts.
- b. Currently, "too many" people are preparing abstracts in an essentially duplicative effort (e.g., DS/DIU, Bureau evaluation offices, some contractors, PPC/E for annual GAO reporting) (see Attachment E for example of abstracts prepared by Near East and Africa evaluation offices and by DS/DIU). A more efficient approach would be to develop agreed Agency guidance on what is to be included in an abstract and assign responsibility for abstract preparation either to the evaluator or to DS/DIU; and to have Bureau evaluation offices focus instead on preparing user-focused "digests" tailored to the particular interests of potential users and providing Bureau feedback to the Mission/office generating the evaluation. (These "digests" are subsequently incorporated into the automated "memory" along with the main abstract).
- c. Several related actions seem to be called for, including consolidation of present distribution systems, issuance of an annual evaluation reference report, possible changes in the automated "memory", and possible modifi-

disseminate
submit
memory

cations on the form requesting information from DS/DIU (see Attachment F). This entire package of actions requires further work by a PEC group including DS/DIU representation.

8. "Proving" Utilization:

- a. Evaluation offices review PIDs to ensure that requirements in Handbook 3 are being followed with respect to recording previous experience of two kinds: i) actual evaluation reports as cited or footnoted; and ii) relevant experience, represented in PID design team, in similar projects elsewhere. Issues papers prepared for PID reviews query PID use of evaluative information (see Attachment B).
- b. Bureau evaluation offices keep file on PID/PP issues papers and cables associated with the review/approval process.
- c. Agency guidance requires that CPs record instances of impact of evaluations on AID/host country policies, program direction, program composition, continuation/expansion/termination of activities (see Attachment G for an example of follow-on Bureau guidance for including such evidence in CP).
- d. DS/DIU creates automated record of all PIDs, and marks for retrieval those which indicate the use of evaluation findings and experience.
- e. DS/DIU provides PPC/E with annual list of requests for evaluative information met by DS/DIU. PPC/E transmits this information to Bureaus.
- f. Random checks are made by IG during audits on whether or not actions recommended by a Mission/office on the basis of an evaluation were actually undertaken.

9. Feedback:

Procedures ensure feedback to Mission/office on at least selected evaluation reports (the Africa Bureau abstract form included in Attachment E has the advantage of providing substantive feedback to Mission evaluation officer). PEC examines the feasibility of paneling selected or key evaluation studies for peer review/comment and feedback.



APR 1981

TO : PPC/E, Nena Vreeland
FROM : AFR/DP/PPE, ^{H.M.}Henry W. Miles
SUBJECT: Utilization of Evaluation Results
REF : PPC Meeting of Monday, March 20th.

As mentioned in the referenced meeting I believe that evaluation people can unconsciously step on almost everyone's toes. To prevent this from occurring and also to enhance the acceptance of evaluation findings by project review committees, I have limited my role almost to supplying information to appropriate technicians and to supporting them during review meetings. Communicating evaluation findings in this way does not challenge the technicians role as resident expert and permits the evaluation officer to have findings presented by the person best qualified to relate them to a larger body of technical knowledge. Attached is an example of how evaluation and agriculture worked together at a recent PID review. AFR/DP ended up asking me to brief the PP design team regarding my concerns.

cc:AFR/DP/PPE:FDiamond
AFR/DP/PPEA:JHicks

memorandum

DATE: 12 JAN 1981

REPLY TO
ATTN OF: Mr. Henry L. Miles, AFR/DP/ESUBJECT: Agriculture Production Support Project
(683-0234) (Niger)

TO: Mr. Quincy Benbow, AFR/DR

In accordance with our discussion of 9 January and the results of the PID review this morning for the subject project I am sending you the attached materials. The materials consist of selected excerpts from an evaluation of an agriculture production project in Senegal. Michigan State University carried out the evaluation in 1979. The Senegal project has at least two features similar to the subject Niger project: it promotes similar technology and it claims to draw upon years of research. Nevertheless, the evaluators could not obtain a precise definition of the technological package promoted by the project. The technology package that the evaluators finally settled on does not seem to meet the needs of the farmers. The project paper seems over/optimistic on virtually every element of the project. I hope you find the excerpts helpful. Please call if you need the entire evaluation document.

Attachment

cc: AFR/DP/PPEA, Dr. Fritz Gilbert



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

Excerpts from Working Paper 28 Dated June 1979.
Department of Economics, Michigan State
University. (Papers available in AFR/DP/E
see Henry Miles Rm 3530A.)

4.1 Methodology

Because the Senegal Cereals Production Project involves a large number of improved cultural methods and technological innovations, it is extremely difficult to construct representative farm budgets and analyze either the financial or economic impact of the project.

Two project
evaluation studies conducted in 1978 arrived at opposite conclusions
about the incidence of project benefits. The USAID evaluation claimed
that most of the project's success was achieved with the "light level"
of technology [USAID, 1978a], whereas SODEVA's own evaluation stated
that all project benefits resulted from adoption of the heavier
technological packages [SATEC-SODEVA, 1978].

Farm budgets are shown for two theoretical standard farms--a "base farm" not affected by the project and an "intensified farm" which has adopted many of the recommended practices and inputs on a portion

of its area. Although data exist on the number of intensified hectares in the project area, there is not a standard definition of intensification. The most common characteristics of an intensified farm are that on some portion of it 1) land is plowed by oxen, 2) a corrective dose of phosphate fertilizer has been applied, 3) the use of NPK fertilizer is above average (100-150 kg. NPK/hectare), and 4) improved cultural practices are used, such as early planting, millet thinning, etc.

Summary and Implications

Although the Senegal Cereals Production Project offers some financial benefits to the participants and some economic benefits to Senegal, the costs of this project far outweigh the benefits accrued. This conclusion should be supplemented by a review of four considerations not addressed in the preceding analysis.

1. Labor inputs were not used in this analysis because of the unavailability of monthly labor profiles showing time allotted to specific tasks for each of the farm types analyzed. The differences in labor required and the nature of labor bottlenecks for each system are not known. Research on labor inputs is urgently needed in order to compare farms at different levels of technology and to identify seasonal labor bottlenecks.

2. The budgets mask the enormous differences in farm size and areas cultivated per adult that exist in the area [SCDEVA, 1977]. It is certain that farms operating at different levels of labor intensity and with different areas to cultivate have different costs and returns. The standardized "average" farm budget which was used in this analysis glosses over such differences.

3. By focusing on an average year, this study does not deal with the effects of intensification in a drought year such as 1977. Indeed, during 1977, SCDEVA officials believe that an intensified farm had lower net returns than a base farm of similar characteristics. The ~~risk involved in going into debt in a bad year (even though farm budgets show increased returns in average and good years)~~ probably discourages intensification.

4. No allowance is made in this study for the costs of feeding animals used for traction or the value of groundnut and millet straw, which are used mostly for animal feed. Estimates of these were not available. Since the feed costs and the value of the straw probably balance out, this omission does not greatly affect the results of the analysis.

In conclusion, it is evident that the Project Paper was over-optimistic about the degree and speed at which project benefits would accrue. Although the Project Paper claims to draw upon years of research and a "production system already available which can lead to greatly increased levels of production" [USAID, 1974], this package does not appear to have been tailored to farm conditions.

Although the analysis of farm budgets shows that the adoption of project recommendations results in increased farm incomes, the adoption rate has been very low. One reason is the risk of drought, as noted above. Others include:

1. The labor bottlenecks appear to be especially constraining under intensification. The most constraining peak period is the period of millet thinning-peanut weeding. The unavailability of labor is also a constraining factor at the end of the cycle, when plowing is recommended.

2. The introduction of technical change and the diffusion of technical change from the fields of the compound head to other compound members is not understood [Klaene, 1976]. The mechanisms by which such changes can be affected and the nature of the contract between the compound chief and adults living in the compound need to be studied.

3. There is a need for research on the needs of low-income farmers, i.e., farmers with small areas and/or a small land base per adult. Although data are not available to demonstrate it, SODEVA officials believe that intensification is much more common among large farmers than small farmers. SODEVA officials point to several problems inhibiting intensification by small farmers: too small a surface cultivated to supply feed for a pair of oxen, the amount of credit available for a farmer is tied to the quantity of groundnuts sold in the past, and that credit is not available to cultivators other than the compound head.

The tremendous amount of "guesstimation" involved in carrying out an economic analysis of the project is a result of the inadequate job done in monitoring the progress made. Acknowledgment of the uncertainty in the figures presented does not, however, modify the strongly negative results of the analysis conducted.

Discussion Points for Project Committee

THAILAND: Rural Water & Sanitation Project

1. Prior Evaluation: Congruency of proposed project with findings/ recommendations of recent Impact Evaluation in Thailand.*
2. Institutional: Implementing institution for the water activity in communities of less than 2,000 population.
 - (a) Rural Water Supply Division (RWSD) of Ministry of Health or Provincial Water Works Authority (PWWA).
 - (b) Relationship between these two institutions.
3. Technologies: Choice and source of low cost water technologies.
 - (a) Mechanism for introducing/modifying water technologies; possible utility of experience in other countries.
 - (b) Possible need to vary technology with respect to size/population density of villages.
 - (c) Cost effectiveness of piped water systems.
4. Beneficiaries: Equity concerns; feasibility of reaching all dwellers in target communities.
5. Inter-Project Relationships:
 - (a) Subject proposal, nutrition and populations PIDs.
 - (b) Feasibility of combining these separate projects into a broader sectoral effort; institutional and regional relationships.
6. Other:
 - (a) Concept of community loan fund.
 - (b) Approval authority.
 - (c) 

FACESHEET (PID)

A C = Change
D = Delete

(C)

2. COUNTRY/ENTITY
MOROCCO

4. BUREAU/OFFICE
NEAR EAST

A. Symbol NE B. Code 03

6. ESTIMATED FY OF AUTHORIZATION/OBLIGATION/COMPLETION

A. Initial FY 82
B. Final FY 86
C. PACD 86

3. PROJECT NUMBER
608-0167

5. PROJECT TITLE (maximum 40 characters)
DOUAR WATER SYSTEMS

7. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 =)

FUNDING SOURCE		LIFE OF PROJECT
A. AID		7,365
B. Other U.S.	1. Peace Corps	3,000
	2.	
C. Host Country		5,855
D. Other Donor(s)	UNICEF	6,000
TOTAL		22,220

8. PROPOSED BUDGET AID FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE		D. 1ST FY 82		E. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) PH	510	545		1,000		7,365	
(2)							
(3)							
(4)							
TOTALS				1,000		7,365	

9. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

560 544 540

10. SECONDARY PURPOSE C

11. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code BRW B. Amount

12. PROJECT PURPOSE (maximum 480 characters)

To provide accessible potable water in adequate quantities to the inhabitants of up to 440 douars in 10 provinces through the improvement of water sources and distribution systems;

To promote utilization and application of improved sanitary practices by the rural population;

To improve GOM capacity to provide maintenance for rural water systems.

13. RESOURCES REQUIRED FOR PROJECT DEVELOPMENT

Staff:	2.0 Sanitary Engineer/Water Systems Specialist	.75 Public Administrator
	1.5 Community Sanitarian/Health Educator	.75 Sociologist
	1.0 Training Specialist	.75 Economist/Financial Analyst
Funds		.50 Environmental Specialist
7.25 p/m: \$72,500 PD&S		TOTAL 7.25 p/m

14. ORIGINATING OFFICE CLEARANCE

Signature: Harold S. Fleming
Title: Harold S. Fleming, Mission Director

Date Signed: MAR 19 81

15. DATE DOCUMENT RECEIVED/AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION

16. PROJECT DOCUMENT ACTION TAKEN

S = Suspended CA = Conditionally Approved
 A = Approved DD = Decision Deferred
 D = Disapproved

17. COMMENTS

18. ACTION APPROVED BY

Signature: _____ Title: _____

19. ACTION REFERENCE

20. ACTION DATE

5. Relevant Experience with Similar Projects

a. Morocco - UNICEF Pump Installation Project

A 1977 evaluation of the 1972-76 UNICEF-GOM/MOI hand pump installation project for existing wells and cisterns in three pilot provinces revealed the following:

1) General/Project Organization

In 1975, the MOI underwent internal reorganization. As a result, responsibility for overseeing this project was shifted from the central level to that of the provinces as part of general MOI decentralization plans. It is now apparent that the organization was done without sufficient care and attention to important details: in sum, the provincial level designate was often unmotivated, uninterested, uninformed of his specific responsibilities, or too busy with other matters to devote much attention to hand pumps. This, in turn, resulted in greatly diminished project coordination and liaison among participating organizations and ministries, inadequately defined maintenance responsibilities and an inability to stimulate and follow through on multi-sectoral community development efforts at the local level.

2) Maintenance

A high percentage (65%) of pumps installed were found to be in need of repair, often from overuse, and usually three months to two years after installation. The UNICEF evaluation team identified several reasons for this:

- . responsibility for maintenance was never clearly defined, resulting in no central records/maps on the whereabouts of the installed pumps, nor systematic plans for monitoring of pump functioning;
- . training and motivation in maintenance were insufficient;
- . spare parts were not available and could not readily be attained, as provincial level designates often did not have the technical background to give precise specification on parts needed.

An interesting observation made was that those pumps still in operation seemed to correspond to a motivated/appreciative population and/or a personally interested local leader.

65

3) Health and Sanitation

Prior to 1975, collaboration between the MOI and the MOH (Ministry of Health) on this project existed and worked well at the provincial level. In fact, it was declared that the MOH, despite evident gaps in personnel, time, materials and facilities, did its job (water quality control, health/sanitary education) quite well. However, MOH health education efforts were not supplemented by other organizations as had been hoped. With the reorganization of the MOI, cooperation between the MOI and MOH broke down and possibilities for extension work through other ministries were not pursued or activated.

Many of the water systems under the UNICEF project were not sealed and, thus, were more likely to be polluted. In general, the evaluation team noted an insufficient appreciation by the population of the relationship of clean, well-maintained water sources and local health conditions.

b. General - Lessons Learned

Local participation in potable water projects has been shown to be an extremely important factor in successful, sustained programs. Projects that address user perceived needs and that encourage and use beneficiary collaboration, are more likely to be cost-effective for the donor and beneficial to the "recipient" population.

Reduction of water-borne diseases is normally one of the prime justifications for improved water supply projects. However, studies have shown that clean water supplies provide a necessary but not sufficient condition to improved health. A health education program leading to improved sanitation and hygiene, carried out in conjunction with the installation of clean water supplies, can lead to health benefits unachievable by either activity alone. Most beneficiary countries have had little first hand experience with this kind of undertaking; thus as in this project, it will be up to the donor organization(s) to help structure, within the existing MOH programs, a health/sanitation package aimed at improving water use patterns.

Experience with rural water systems in other countries has shown that lack of government and/or community commitment to maintenance, once the project has ended, has resulted in disrepair and disuse of systems. As with a health program, donors should help incorporate project elements that will assure sustained maintenance and, therefore, sustained use and benefits from the improved water supply.

B. Specifics

1. Project Description

There are three major activities under this project: (1) physical upgrading of existing water systems; (2) systems maintenance and (3) health and sanitation.

DRAFT

(D)

*Example of format
for AID evaluation
reports*

U.S. ASSISTANCE TO
THE FAMILY PLANNING AND POPULATION PROGRAM
IN BANGLADESH
1972 - 1980

Report of A Program Evaluation
Conducted By:

Barbara L.K. Pillsbury, Ph.D.
Chief for Evaluation, AID Asia Bureau

Lenni W. Kangas, M.S.H.
Population Advisor, AID Near East Bureau

Alan J. Margolis, M.D.
Professor of Obstetrics and Gynecology
University of California, San Francisco

* * *

With the Assistance of the American Public Health Association

* * *

For USAID / Dacca

November, 1980

22
Draft 1.19.81

67

I. EXECUTIVE SUMMARY	1	} Can be (etc be) circulated independently;
Program Identification Facesheet	3	
II. CONCLUSIONS AND RECOMMENDATIONS	4	} A limited number of major conclusions
Major Conclusions and Recommendations		
1. Impact of the Bangladesh Program	4	
2. Political Commitment of the Bangladesh Government	5	
3. Effectiveness of the Bangladesh Government Program	5	
4. Effectiveness of AID Support	6	
5. AID-Funded Intermediary and Private Organizations	6	
6. USAID-Proposed Project for FY 81-83	7	
Other Conclusions and Recommendations		
7. Population Growth and Fertility Reduction Goals	8	
8. Target-Setting and Program Performance Management	9	
9. Logistics	10	
10. Inadequacy of Training and Supervision	11	
11. Contraceptive Method Mix	12	
12. An Oral Contraceptive Choice	12	
13. Sterilization	13	
14. USAID/Dacca Population Staffing	16	
15. Beyond Family Planning	18	
16. Donor Coordination	19	
III. THE BANGLADESH CONTEXT	21	} Additional conclusions related to the major ones out of secondary importance given the purpose of the evaluation.
1. Overview: The Constraints to Development	21	
2. Population Size, Growth, and Data	31	
3. The Status of Women: Inferior and Isolated	37	
4. Socioeconomic Determinants of Fertility	43	
IV. DEVELOPMENT OF THE BANGLADESH FAMILY PLANNING PROGRAM	50	
1. The Pre-Independence East Pakistan Origins and Legacy	50	
2. The Bangladesh Post-Independence Program	53	
V. DISCUSSION OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS	61	} Note that each item here is keyed to items in part II -- is the discussion that explains the info and judgments on which the conclusions and recs are based.
1. Impact of the Bangladesh Program	61	
2. Political Commitment of the Bangladesh Government	63	
3. Effectiveness of the Government	66	
4. Effectiveness of AID Support	69	
5. AID-Funded Intermediary and Private Organizations	76	
6. USAID-Proposed Project for FY 81-83	79	
7. Population Growth and Fertility Reduction Goals	84	
8. Target-Setting and Program Performance Management	86	
9. Logistics	92	
10. Inadequacy of Training and Supervision	98	
11. Contraceptive Method Mix	101	
12. An Oral Contraceptive Choice	107	
13. Sterilization	109	
14. USAID/Dacca Population Staffing	121	
15. Beyond Family Planning	124	
16. Donor Coordination	128	

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See cable (state 063232,
8 March 1980), which presents
guidance and rationale for
using this format (appended
here after ~~that~~ ~~was~~)

VI. APPENDICES	Process
A. *Methodology, Scope of Work, and Recommendations on the Evaluation/	A-1
B. Persons Interviewed and Visited	B-1
C. Review of Study Objectives and Reported Findings of Completed Operations Research Projects, 1978 - 1980	C-1
D. The Correlation Between Prevalence of Contraceptive Use, Population Growth Rates, and Crude Birth Rates (Including "Prevalence of Contraceptive Use Worksheet, Instructions, and Methodological Note")	D-1

* Important: 1) to put report in context of circumstance under which it was conducted, and
 2) to provide "lessons learned" from this evaluation process that can make it easier for others later to do better evaluations

BY ASIA/DP AND THE EVALUATION SUMMARIES AND MAJOR FINDINGS
CIRCULATED ON A REGULAR BASIS TO ALL ASIA MISSIONS.

OCT-80 /B35

3. FORMAT. FOR THE ABOVE REASONS, ALL MISSIONS AND
AID/W OFFICES ARE URGED TO INCLUDE IN THEIR SCOPES OF
WORK FOR SPECIAL EVALUATIONS THAT THE EVALUATION REPORTS
ARE TO INCLUDE THE FOLLOWING SECTIONS:

APPROVED BY ASIA/DP/RE: B PILLSBURY: PAC
A/B1: J DUDIA-GAYOSO (INFO)
A/PTB1: D CHANDLER (INFO)
A/PNS: B GEORGE (INFO)
A/ISPA: H PETREQUIN (INFO)
A/TR: T ANNOT (INFO)
C/E: S SINGER (PHONE)
STANDARD DISTRIBUTION
ACTION ACDP 2 CHRON 8 INFO AAAS ASEM ASPT ASSP ASBI ASPM PPC/E PDPK
PB ASPD ASTR ZUP
-----087678 0923322 /34

A. EXECUTIVE SUMMARY. TWO-PAGE SINGLE-SPACED MAXIMUM.
THIS WILL BE CIRCULATED INDEPENDENTLY OF THE FULL EVALUA-
TION. THUS IT SHOULD CONTAIN (1) IDENTIFICATION OF PRO-
JECT(S) BY NAME, NUMBER, YEARS, AND COST; (2) PURPOSE OF
EVALUATION; (3) IDENTIFICATION OR SUMMARY OF MAJOR FIND-
INGS OR LESSONS LEARNED; AND (4) IDENTIFICATION OR SUMMARY
OF MAJOR RECOMMENDATIONS.

- 082122Z MAR 80
- SECSTATE WASHDC
- EMBASSY BANGKOK
- EMBASSY COLOMBO
- EMBASSY DACCA
- EMBASSY ISLAMABAD
- EMBASSY JAKARTA
- EMBASSY KATHMANDU
- EMBASSY MANILA
- EMBASSY NEW DELHI
- EMBASSY RANGOON
- EMBASSY SEOUL
- EMBASSY SUVA

B. MAJOR FINDINGS. SHORT, SOCCINCT SUMMARY STATEMENTS
PRESENTING THE MAJOR CONCLUSIONS AS WELL AS LESSONS
LEARNED, INCLUDING THOSE WITH APPLICABILITY AND POLICY
IMPLICATIONS BEYOND THE IMMEDIATE PROJECT(S). (LENGTH
OPTIONAL.)

UNCLAS STATE 063232

C. RECOMMENDATIONS. PROJECT AND PROGRAM RECOMMENDATIONS
AND, WHERE POSSIBLE, STATEMENT OF POLICY IMPLICATIONS.
(LENGTH AND DETAIL TO BE DETERMINED BY PURPOSE OF INDI-
VIDUAL EVALUATION.)

AIDAC

ON A REGULAR BASIS, ASIA/DP WILL DISSEMINATE TO THE FIELD
THE EXECUTIVE SUMMARIES, AND WHERE APPROPRIATE MAJOR
FINDINGS AND RECOMMENDATIONS, OF ALL SPECIAL EVALUATIONS.
FOR THIS REASON, THE EXECUTIVE SUMMARY SHOULD BE ABLE TO
STAND ALONE AS A BRIEF BUT THOROUGH DESCRIPTION OF THE
PROJECT AND A COMPREHENSIVE PRESENTATION OF THE EVALUATION
FINDINGS. (IN ADDITION, PPC/E HAS ALSO BEGUN TO DISTRIBUTE
TO OTHER REGIONS THE SUMMARIES AND MAJOR FINDINGS OF
SPECIAL EVALUATION REPORTS JUDGED TO BE IMPORTANT AND OF
HIGH QUALITY.)

E.O. 12065: N/A

PLEASE NOTE THAT THE FORMAT AND CONTENTS OF THE BODY OF
THE REPORT ARE STILL TO BE DETERMINED BY THOSE WHO
SCHEDULE AND CONDUCT THE EVALUATION.

TAGS: (MISSIONS)
SUBJECT: FORMAT FOR ASIA BUREAU SPECIAL EVALUATIONS

4. ASIA/DP WELCOMES COMMENTS ON THIS ATTEMPT TO IMPROVE
UTILIZATION OF EVALUATION FINDINGS AS WELL AS MISSION
COMMENTS REGARDING OTHER ASPECTS OF EVALUATION. VANCE

1. SUMMARY: DURING 1980 THE ASIA BUREAU WILL BE TAKING
STEPS TO MAKE EVALUATION FINDINGS MORE READILY AVAILABLE
AND EASILY UTILIZABLE FOR PROGRAM AND PROJECT PLANNING IN
BOTH THE MISSIONS AND AID/W. FOR THIS REASON IT IS RE-
QUESTED THAT ALL REPORTS OF SPECIAL EVALUATIONS CONDUCTED
FOR THE ASIA BUREAU AND MISSIONS FOLLOW A COMMON FORMAT
OUTLINED BELOW. ASIA/DP WILL SUBSEQUENTLY DISSEMINATE
EVALUATION SUMMARIES AND FINDINGS AND MAKE COPIES OF THE
FULL REPORT AVAILABLE UPON REQUEST. END SUMMARY.

2. BACKGROUND. DURING RECENT YEARS THE NUMBER OF QUOTE
SPECIAL UNQUOTE EVALUATIONS CONDUCTED FOR THE ASIA BUREAU
AND MISSIONS HAS INCREASED CONSIDERABLY. (BY QUOTE SPECIAL
EVALUATIONS UNQUOTE IS MEANT ALL IN-DEPTH, EXTERNAL,
IMPACT AND SIMILAR EVALUATIONS NOT CLASSIFIED AS REGULAR
OR STANDARD EVALUATIONS.) AT LEAST 20 SUCH EVALUATIONS
ARE SCHEDULED FOR 1980 AND APPROXIMATELY 30 WERE CONDUCTED
DURING 1978 AND 1979. MOST OF THE 1978-79 EVALUATIONS,
HOWEVER, FAILED TO INCLUDE CONCISE SUMMARIES OR STATEMENTS
OF FINDINGS. AS A CONSEQUENCE, OBSERVATIONS PRESENTED
WITHIN MAY BE IMPORTANT, YET FAIL TO INFLUENCE OR EVEN

COME TO THE ATTENTION OF DECISION-MAKERS ABOVE THE PROJECT
MANAGER LEVEL OR OUTSIDE THE MISSION OR OFFICE RESPONSIB-
LE FOR THE EVALUATION. A COMMON FORMAT HAS THEREFORE
BEEN DEVELOPED FOR REPORTS OF SPECIAL EVALUATIONS IN
ORDER TO PERMIT EFFICIENT DISSEMINATION OF FINDINGS AND
LESSONS LEARNED AND TO FACILITATE COMPARISON AND ANALYSIS.
AS OF JANUARY 1980, ALL SPECIAL EVALUATIONS CONDUCTED IN
ASIA BY AID AND ITS CONTRACTORS WILL BE CAREFULLY REVIEWED

UNCLASSIFIED

Abstract of Interim Evaluation of Botswana Horticulture Development Project (633-0215) (OPG) Covering period 10/1/79 to 9/30/80, Estimated AID Funding \$227,000, Project Period FY-79 to FY-83.

This project proposes to expand horticultural production in Botswana to a level approaching self-sufficiency by relieving existing technological constraints. Both commercial and subsistence farmers lack improved varieties of cabbage, onions, carrots, potatoes, tomatoes and green-mealies. These farmers also lack improved techniques for growing fruits and vegetables. The project supports adaptive research in variety screening, fertilizer responses, time of planting, various methods of staking tomatoes, and trickle and sprinkler irrigation methods. The delivery system which develops and transfers improved technology to subsistence and commercial farmers consists of a horticulture research unit, an agricultural extension system and temporary technical assistance from IVS volunteers. This system uses the following techniques to transfer technology: radio programs, a newsletter, demonstration vegetable gardens and extension agent assistance to primary schools and groups of and individual farmers.

Screening trials have surfaced a number of vegetable varieties that grow well in Botswana. The evaluation contains no information on adoption of project technology. The evaluation recommends that the project intensify efforts to train the staff, that it investigate more closely constraints faced by small vegetable gardeners and that it attempt to link research and small farmers more closely.

For Mission Evaluation Officer: I appreciate the specificity of some parts of this evaluation. I would appreciate your reviewing my comments for accuracy and suggest changes. We have used information from a number of evaluations recently to prepare briefing papers for Congressional Hearings. Accordingly, we would like the abstracts accurate in fact and tone. I abstract the following items: purpose, characteristics of project beneficiaries, their constraints, their present technology, project promoted technology, delivery system used, transfer techniques (teaching methods), adoption of project technology, and results experienced by adoptees.

Abstracter: Henry L. Miles, Bureau Evaluation Officer, AFR
4/22/81:sb

cc: AFR/DP/PPEA: JHicks
AFR/SA: LPompa
AFR/DR: WWoIff
AFR/DR: LHoldcroft

PROJECT TITLE(S) AND NUMBER(S) Community-Based Integrated Rural Development in Siliana (664-0307)	MISSION/AID/W OFFICE USAID/Tunisia
---------------------------------------------------------------------------------------------------------	-------------------------------------------

PROJECT DESCRIPTION

The purpose of this project is to establish local community self-help development systems in selected areas of Makthar and Rohia delegations in Siliana province.

AUTHORIZATION DATE AND U.S. LOP FUNDING AMOUNT 8/77 \$.917m	PES NUMBER 80-3	PES DATE 1/80	PES TYPE <input checked="" type="checkbox"/> Regular <input type="checkbox"/> Other (Specify) <input type="checkbox"/> Special <input type="checkbox"/> Terminal
ABSTRACT PREPARED BY, DATE Emily Baldwin, NE/DP/PAE January 21, 1981	ABSTRACT CLEARED BY, DATE Gerald Miller, NE/TECH/SPRD		

The report (by Practical Concepts Inc.) on which this PES is based, covers the mid-term evaluation of the Community-Based Integrated Rural Development (CBIRD) project, one of a number of rural development projects in Siliana province. This project is being implemented by the Save the Children Foundation (SCF), which is encouraging local-level development collaboration through the establishment of local village committees in selected villages. These committees are to identify local needs, prioritize those needs, translate them into implementable projects, and monitor project progress. The evaluation finds that at the local level, SCF is working effectively; that is, the SCF self-help approach has been accepted by rural villages, and the SCF staff is working effectively at the local level to help put its strategy in motion. While SCF is considered also to have developed good working relationships at the national level, it is considered less successful in gaining GOT commitment to the CBIRD methodology. (Apparently the GOT has had trouble implementing local cooperative projects in the past and for this reason maintains a degree of skepticism toward the concept.) This skepticism within the GOT raises some concerns about the host government's continuing with and expanding on the CBIRD concept once SCF has left. (These concerns are discussed only briefly and very vaguely.) For this reason, it is recommended that SCF expand its responsibilities to include the training of Tunisian extension workers capable of developing and implementing local self-help projects once SCF itself has left.

The PCI evaluation report contains two concerns with the self-help strategy and SCF's role in this project which are not mentioned in the PES. 1) The potential socio-economic changes brought about by cooperative efforts appear to be less important than the cooperation itself in the SCF approach. 2) It follows from this that "technical matters" (presumably project components to address potential socio-economic changes) do not receive a great deal of attention in the project implementation.

- Lessons Learned:
- 1) The CBIRD approach can be introduced successfully and accepted at the local level in such rural areas as in Tunisia. However, the longer-term success of such projects may be dependent on host government commitment to the CBIRD concept and on its willingness to supply and train extension workers to expand the extent of village cooperation.
 - 2) There is a need in project implementation to communicate with national level government figures on project progress and results in order to maintain (or, in Tunisia's case, create) support for the CBIRD project.
 - 3) In project implementation, care should be taken to focus not only on village cooperation but also on working to improve local level socioeconomic conditions through cooperative efforts.
 4. Not mentioned in the PES or the evaluation report but worthy of AID's consideration is the need to assure host government commitment and support prior to project approval if there is any doubt that the project may fail in its absence.

* PROJECT EVALUATION DOCUMENTATION *
* COUNTRY/BUREAU: NICARAGUA PROJECT: 5240118 *
* PROJECT TITLE: RURAL DEVELOPMENT SECTOR PROGRAM INITIAL FY: 75 FINAL FY: 80 *

DOCUMENT TYPE: SPECIAL EVALUATION REPORT
DOCUMENT TITLE: INVIERNO (INSTITUTO DE BIENESTAR CAMPESINO); THE
FIRST YEAR; AN EVALUATION OF AID LOAN 524-L-031
AUTHOR(S): BROWN,ALBERT L
GREEN,LEONARDO
BATHRICK,DAVID AND OTHERS

PUBLICATION DATE: 10/01/76
CALL NUMBER: NV630.972858877

ORGANIZATION: AMERICAN TECHNICAL ASSISTANCE CORPORATION

CONTRACT:
PROJECT(S): 524011800

OTHER ID:
PUBLICATION NO:

ABSTRACT: INVIERNO (INSTITUTO DE BIENESTAR CAMPESINO) IS SERVING CLOSE TO 4500 SOCIOS THROUGH FIVE CEDE'S (CENTRO DE DESARROLLO) IN REGION V WITH A COMPREHENSIVE PROGRAM OF CREDIT, TECHNICAL ASSISTANCE, INPUTS AND MARKETING ASSISTANCE. LIMITED PROGRESS IS ALSO BEING MADE IN MOC (MOTIVATION-ORGANIZATION-CAPACITATION) ACTIVITIES RELATED TO COMMUNITY PROGRAMS, AND SEVERAL PILOT ACTIVITIES ARE UNDERWAY. CONTRACTS HAVE BEEN SIGNED TO BEGIN WORK IN MARKETING, APPLIED RESEARCH, MUNICIPAL DEVELOPMENT, LAND SALE GUARANTY, AND ACCESS ROADS EFFORTS. CONTRACTS ARE PENDING FOR HEALTH AND HOUSING ACTIVITIES. INVIERNO MET, EXCEEDED, OR CAME VERY CLOSE TO MEETING ALL IMPORTANT INPUT TARGETS AND SOME OUTPUT TARGETS IN ITS FIRST YEAR OF OPERATION. THE ENTIRE OPERATIONAL SYSTEM IS VERY EFFECTIVE. ALTHOUGH IT IS NOT COMPLETELY FUNCTIONAL, NOR HAS IT COMPLETED A TOTAL ANNUAL CYCLE, THE EVALUATORS ARE CONFIDENT THAT REMAINING WORK ON THE SYSTEM WILL BE ACCOMPLISHED, AND THAT IT WILL BE EXPANDED. THE EVALUATORS MADE MANY SUGGESTIONS ABOUT POSSIBLE IMPROVEMENTS AND CHANGES TO THE SYSTEM. THEIR FOUR SIGNIFICANT RECOMMENDATIONS ARE: (1)INVIERNO SHOULD CAREFULLY ANALYZE THE IMPLICATIONS AND PROCESS OF "GRADUATION", (2)INVIERNO SHOULD RESIST BOTH INTERNAL AND EXTERNAL EFFORTS TO EXPAND INTO NEW PROGRAMS OR NEW AREAS BEFORE IT HAS REASONED CONFIDENCE IN ITS ABILITY TO DO SO; (3)A SENIOR LEVEL CREDIT COMMITTEE SHOULD REVIEW ALL LOAN AUTHORIZATION OVER \$10,000 AND EMIT ITS OPINION BEFORE DISBURSEMENT; AND (4)INVIERNO SHOULD PLACE A CEILING ON THE AMOUNT OF A LOAN MADE TO A FARMER FOR A SINGLE CROPPING SEASON. THE EVALUATORS REVIEWED INVIERNO'S INSTITUTION BUILDING EXPERIENCE, AND THEY DISCUSSED THE INVIERNO PROGRAMS; AGRICULTURAL CREDIT; MARKETING; APPLIED RESEARCH; LAND SALE GUARANTY; MOC; ACCESS ROADS; MUNICIPAL DEVELOPMENT; HOUSING; AND SMALL RURAL ENTERPRISE DEVELOPMENT.

13

INFORMATION RETRIEVAL REQUEST

F

This form replaces block 20 of the PID Facesheet dated 3-76. It will be used by the bureaus, the field missions and design teams to request information concerning past experience pertinent to a proposed project. It must be received by DS/DIU on a timely basis in order to ensure that a well targeted search is conducted and the results made available to the design team. It is recommended that it be submitted with the PID Facesheet, addressed to DS/DIU thru the Regional Bureaus, or directly to DS/DIU.

TO: DS/DIU

DATE: _____

FROM: _____

Please forward the information 'X'ed below, as soon as possible to: _____

A. TYPES OF INFORMATION OF PARTICULAR VALUE

- 1. Alternative approaches (purposes) for the problem
- 2. Alternative outputs for achieving purpose.
- 3. Technical information on outputs (specify) _____
- 4. Information on technical feasibility of similar projects
- 5. Information on economic feasibility of similar projects
- 6. Information on social soundness of similar projects
- 7. Information on host implementation/administration of similar projects
 - Worldwide
 - Culturally/geographically similar areas only
- 8. Project Evaluations
- 9. Knowledgeable Individuals
- 10. Expert Insitutions
- 11. Published literature (books/periodicals)
- 12. Other (specify) _____

B. SOURCES OF INFORMATION OF PARTICULAR VALUE ('X' key areas)

- 1. AID
- 2. IBRD
- 3. Other international organizations
- 4. Other donors
- 5. Voluntary Agencies
- 6. Private industry
- 7. U.S. domestic experience
- 8. Other (specify) _____



UNITED STATES GOVERNMENT

Memorandum

TO : PPC/E/PES, Ms. Nina Vreeland

DATE: May 11, 1981

FROM : NE/DP/PAE, Richard Rhoda *PR*

SUBJECT: Use of Evaluation Finding in NE CP's

Several weeks ago I promised to send materials on how we incorporated evaluations into our CP's. Attached are copies of cables giving Egypt, Jordan and Morocco specific guidance on CP submission and requesting a discussion of evaluation in the narrative. We did similar cables for all Missions but I can't track them all down at the moment. The Missions responded well to our suggestion. Egypt devoted a full five paragraph section to evaluation in their CP (AID CP Annex IV, Near East pp. 34-35). Jordan sprinkled evaluative findings through theirs (pp. 74-75). Morocco had 23 lines on evaluation (pp. 135 and 137, right side columns). Of course, things could be better and we'll try harder next time.

Attachments: (3)

a/s



25

INFO OCT-80 030 H

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APPROVED BY AID/A-AA/NE: ALFRED D. WHITE
AID/NE/DP: B. LANGMAID
AID/NE/EI: J. SPERLING (DRAFT)
AID/NE/DP/PAE: R. RHODA (INFO.)

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E.O. 12065: N/A

TAGS:

SUBJECT: FY 82 CONGRESSIONAL PRESENTATION - COUNTRY
- - SPECIFIC GUIDANCE

REF: STATE 258273

1. MISSION SHOULD CONSIDER PARA. 2 BELOW AS PART OF C. P.
GUIDANCE SENT PER REFTEL.

2. THE ADMINISTRATOR IS VERY INTERESTED IN DEMONSTRATING TO CONGRESS THAT THE AGENCY IS EFFECTIVELY UTILIZING THE EVALUATION PROCESS. WHENEVER POSSIBLE AND APPROPRIATE, COUNTRY NARRATIVES SHOULD DISCUSS GOOD EXAMPLES OF THE UTILIZATION OF EVALUATION FINDINGS IN THE PROJECT PROGRAM PLANNING, DESIGN, AND IMPLEMENTATION PROCESS. FOR INSTANCE THE NARRATIVE MIGHT DESCRIBE HOW THE DESIGN OF THE PEACE SCHOLARSHIPS PROJECT WAS INFLUENCED BY THE ELIZABETH WYCOFF EVALUATION OF THE EARLIER EGYPTIAN PARTICIPANT TRAINING PROJECT, OR HOW PREVIOUS EVALUATIONS HAVE AFFECTED THE DESIGN OF OTHER NEW PROJECTS. THE EXTENT TO WHICH THE RECENT EVALUATIONS OF SCIENCE AND TECHNOLOGY ACTIVITIES AND DEVELOPMENT PLANNING STUDIES HAVE INFLUENCED U.S.A.I.D. ACTIVITIES IN THIS SECTOR, SUCH AS DEMAND DRIVEN R AND D COULD

BE NOTED. THE DEGREE TO WHICH THE FAMILY PLANNING EVALUATION LED TO GREATER UTILIZATION OF EGYPTIAN VOLUNTARY AGENCIES FOR DISTRIBUTION OF CONTRACEPTIVES OUTSIDE OF CAIRO AND ALEXANDRIA IS YET ANOTHER AREA OF POSSIBLE USE IN THE NARRATIVE. MUSKIE

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E.O. 12055: N/A

TAGS:

SUBJECT: FY 82 CONGRESSIONAL PRESENTATION - COUNTRY
- - SPECIFIC GUIDANCE

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- A. PHASEOUT - THE MISSION SHOULD SIGNAL ITS STRATEGY TO COMPLETE THE A.I.D. PROGRAM BY 1985, ASSUMING NO CHANGES IN THE POLITICAL ENVIRONMENT. HOW THIS WILL RELATE TO GOJ'S FIVE YEAR PLAN SHOULD BE REFLECTED.

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NUTRITIONAL STATUS AND WEANING PRACTICES MAY BE RELEVANT HERE. THE OTHER IS SCHISTOSOMIASIS. GIVEN GOJ AND A.I.D. EMPHASIS ON WATER AND THE POSSIBILITY OF THE INTRODUCTION OF SCHISTOSOMIASIS, A.I.D. SUPPORT TO RESEARCH AND SURVEILLANCE ACTIVITIES (EVEN THOUGH THE DOLLAR AMOUNT IS SMALL) SHOULD BE MENTIONED.

- C. POPULATION - AS MISSION AWARE, THIS REMAINS A PRIORITY REGIONAL AND GLOBAL CONCERN. WE ALSO, HOWEVER, HAVE A REALISTIC VIEW OF STILL LIMITED BILATERAL OPPORTUNITIES FOR ASSISTANCE IN POPULATION/FAMILY PLANNING SECTOR. C.P. SHOULD INCLUDE STATUS OF OVERALL SITUATION, COMMENT ON ANY CHANGES IN GOJ CONCERN OR RECEPTIVITY AND UPDATE ON PROSPECTS OF INTERMEDIARY ASSISTANCE EITHER UNDERWAY OR PLANNED.

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THOSE EFFORTS. THE GOJ'S COMMITMENT TO DEVELOPING AN EFFECTIVE NATIONAL WATER AUTHORITY, CONSERVATION, DEMAND MANAGEMENT AND EQUITABLE DISTRIBUTION ARE REQUISITE IN ANY FURTHER EFFORT. IF PROGRESS ALONG THESE LINES IS ANTICIPATED, WATER SHOULD BE A MAJOR THEME IN THE C.P.

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TELEGRAM

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INCREMENT AND NOT WHETHER OR NOT SPECIFIC PROGRAMS SHOULD BE FUNDED. FOR FY 82 CP PURPOSES YOU SHOULD ASSUME THAT THE HEALTH DELIVERY MANAGEMENT PROJECT WILL BE APPROVED AND FUNDED IN FY 81.

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APPROVED BY AID/NE/DP: BRADSHAW LANGHAID
AID/NE/NENA, GEORGE LEWIS (DRAFT)
AID/NE/DP/PR, V.G. MCMOILL (DRAFT)
AID/NE/NENA, M. HUNTINGTON (DRAFT)
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E.O. 12065: N/A

TAGS:

SUBJECT: FY 82 CONGRESSIONAL PRESENTATION (CP) GUIDANCE
L PRESENTATION (CP) GUIDANCE

EF: (A) STATE 235219, (B) LANGHAID TO MISSION DIRECTORS P
.... AND A.I.D. REPS., DATED 8/6/80

. REF A PROVIDED AGENCY GUIDANCE FOR PREPARATION OF FY 2 CP COUNTRY NARRATIVES AND PLANNED PROJECT SUMMARY SHEETS. EF B SUMMARIZES THE NEW CP FORMAT TO BE USED THIS FALL. YOU WILL NOTE THAT BETWEEN THE TRANSMITTAL OF REF B (8/6/80) AND REF A (8/4/80), THE GUIDANCE HAS EVOLVED SOMEWHAT, PARTICULARLY WITH RESPECT TO DATA REQUIRED FOR PLANNED PROJECT SUMMARY SHEETS. THIS EVOLUTION IS THE RESULT OF FURTHER CONSULTATIONS WITH THE APPROPRIATIONS COMMITTEES.

. COUNTRY NARRATIVES

-A. UNDER THE NEW AND EXPANDED FORMAT, THE COUNTRY NARRATIVE IS DESIGNED TO PROVIDE INFORMATION ON THE ENTIRE COUNTRY PROGRAM PORTFOLIO, I.E., PROJECTS IN THE PIPELINE

FOR WHICH NO FY 82 FUNDING IS REQUESTED AS WELL AS BOTH ON-GOING AND NEW PROJECTS REQUIRING FY 82 FUNDING. FOR MOROCCO THE THREE THOUSAND WORD LIMITATION ESTABLISHED IN REF A APPEARS APPROPRIATE.

--B. THE QUOTE DEVELOPMENT OVERVIEW END QUOTE AND QUOTE U.S. STRATEGY AND INTERESTS END QUOTE SECTIONS OF THE NARRATIVE SHOULD DRAW HEAVILY ON THE COSS APPROVED LAST FEBRUARY. THESE SECTIONS SHOULD ESTABLISH THE FRAMEWORK FOR THE SECTOR-BY-SECTOR DISCUSSION OF ON-GOING PROGRAMS

--C. WHENEVER POSSIBLE AND APPROPRIATE, COUNTRY NARRATIVES SHOULD DISCUSS UTILIZATION OF EVALUATION FINDINGS IN THE PROJECT/PROGRAM PLANNING, DESIGN AND IMPLEMENTATION PROCESS. FOR MOROCCO, THE NARRATIVE MIGHT DISCUSS REPLICATION OF SUCCESSFUL PILOT ELEMENTS OF THE FAMILY PLANNING SUPPORT I PROJECT WHICH SERVED AS THE BASIS FOR IMPLEMENTATION OF AN EXPANDED OUTREACH PROGRAM IN THE PRESENT PHASE II. ALSO MIGHT DISCUSS HOW THE DESIGN OF THE AGRONOMIC INSTITUTE WAS INFLUENCED BY THE EVALUATION OF THE HIGHER AGRICULTURAL EDUCATION II PROJECT. MENTION MIGHT BE MADE OF THE BENNET IMPACT EVALUATION OF CRS NUTRITION EDUCATION, AND HOW IT IS EXPECTED TO LEAD TO EFFORTS TO EXTEND OR EXPAND THE PROJECT. HOW HAVE PREVIOUS EVALUATIONS INFLUENCED THE DESIGN AND/OR IMPLEMENTATION OF CURRENT PROJECTS?

--D. BECAUSE OF RELATIVELY LOW FY 82 PLANNING LEVEL AND SUBSTANTIAL FUNDING REQUIREMENTS FOR ON-GOING PROJECTS USAID WILL NOT NEED TO PREPARE ANY PLANNED PROJECT SUMMARIES WHICH ARE REQUIRED ONLY FOR NEW PROJECTS.

3. REGARDING SHELF ITEMS FOR FY 81 AND 82, MISSION MAY WISH TO REFER IN NARRATIVE TO FACT THAT WE HAVE A NUMBER OF OPPORTUNITIES TO DEVELOP PROJECTS IN AREAS OF CRITICAL NEED, BUT DUE TO FUNDING CONSTRAINTS ARE UNABLE TO BE AS RESPONSIVE AS WE WOULD LIKE. SEPARATELY, A BRIEF DESCRIPTION OF EACH SHELF ITEM FOR POSSIBLE INCLUSION IN BUREAU SUBMISSION WOULD BE HELPFUL.

4. FINALLY, TO EMPHASIZE PREVIOUS GUIDANCE, NARRATIVE SHOULD BE IN CRISP, DECLARATIVE STYLE, USING CONCRETE EXAMPLES TO ILLUSTRATE POINTS MADE AND OMITTING ALL JARGON AND ABBREVIATIONS.

5. DECONTROL DATE 9/30/81. CHRISTOPHER

Chris

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E.O. 12055: N/A

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EVALUATION TRAINING

SMALL GROUP # 6 (Interim Notes)

memorandum

DATE: July 24, 1981

REPLY TO
ATTN OF: PPC/E/PES, Molly Hageboeck¹ for Small Group #6

SUBJECT: Evaluation Training

TO: Implementation Work Group

The work of the "small group" on evaluation training is still underway. Attached you will find two interim products:

- (a) A list of the key points to be considered in making recommendations for improvements in evaluation training.
- (b) A statement concerning the constraints that will affect the implementation of evaluation training recommendations.

Other efforts are underway, including an examination of the constraints identified in (b), a determination of the feasibility and level of effort involved in acting upon elements of (a). Pursuant to both, the "small group" and PM/TD have been conducting "diagnostic tests" with the IDI, PDE and Orientation students to gain a better understanding of what these courses actually teach today (as opposed to simply present as orientation/briefing information).

During August, 1981 the results of the diagnostic tests and the review of constraints will be examined and a final set of recommendations will be prepared for the Work Group.

Attachments: A/S



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

OPTIONAL FORM NO. 10
(REV. 7-76)
GSA FPMR (41 CFR) 101-11.6
5010-112

TRAINING IN DESIGN AND EVALUATION: Key Points

1. All of AID's professional staff, i.e., individuals who work directly with projects and programs, either as development specialists, contract officers or in supervisory positions, require training in the design and evaluation approaches AID uses.
2. Four topic areas in which some level of training is required are: project design, implementation planning, evaluation and, related to all three of these, data collection and analysis.
3. We distinguish several clusters of personnel within AID's professional staff and view the level of training they require in each of the above areas as differing. We consider the clusters of personnel to include: executives, design specialists, evaluation specialists, and all other professional staff.
3. The diagram below suggests the level of competence required by each professional cluster on each training topic:

	Executives	Design Specialists	Evaluation Specialists	All Other
Design	Low	High	Low	Low
Implementation Planning	Low	High	Low	Low
Evaluation	Low	Low	High	Low
Data Collection & Analysis	Low	High	High	Low

4. The term "high" is used to suggest that the skills required to use a variety of specific techniques in the topic area have been acquired. The term "low" is used to suggest that individuals understand what techniques and procedures AID uses, why they are used, and how to work with the products those techniques and procedures produce. The difference between "low" and "high" is that in addition to knowing everything a "low" category individual knows, the "high" category individual can actually apply/use techniques and procedures.
5. The table in (3) and the distinction between "high" and "low" suggest the need for two versions of training on each topic. Modules, if you will, which could be presented on a "mix and match" basis, depending on the focus of a course and the course participants composite description.

6. For all courses, behavioral objectives should be set. In the modules designated "high" the behavioral objectives would include statements about the student's ability to carry out specific procedures and apply various techniques. In the modules designated "low" or "high", there is a need for behavioral objectives which focus on the students ability to:
 - o Identify what techniques are used for which purposes;
 - o Explain why they are used and what they do/don't do;
 - o Review and/or interpret the products that result from the application of specific processes/techniques;
 - o Tell a good example from a bad example; state when remedial action is needed before a product can be used;
 - o Etc.
7. The achievement of behavioral objectives should be tested on an individual basis during and at the end of AID courses. Individual names need not be kept. The point of individual testing is to determine what improvements are needed in training to better prepare the next groups of trainees. If a way could be found to feed back achievement ratings to individuals it would be useful; if not, feed back to classes should be provided.
8. Two volumes now available in AID, plus two more that are in preparation should be considered to contain most of the material pertinent to the development of course modules, at two levels, for the four topics. These volumes are:
 - o Design and Evaluation of AID-Assisted Projects
 - o The Manager's Guide to Data Collection
 - o AID Handbook 3: Project Assistance (in revision)
 - o AID Evaluation Handbook (in preparation)
9. The material in these volumes exceeds what is needed by individuals who should be considered in the "low" category; it may exceed what is needed by those in the "high" category in some ways. The volumes may also be deficient in some very basic areas.
10. Trainers should not assume that individuals in their classes come to the classes with any preparation, i.e., it should not be assumed that because everyone in the course has a college degree they can all formulate an hypothesis, untangle a mixed up means-ends chain, etc. Logic and research design are not part of every college and graduate school curriculum. They need to be learned in AID's training programs by those who will go on and use the Agency's design tools and its evaluation approaches.
11. Material available in the volumes listed in (8) needs to be sorted in two ways: (a) as "basic" and "supplementary", to show what must be covered verses assigned as reading and (b) within "basic", a further sorting of the material for those who are taking modules designated "high" or "low".

12. The sortings discussed in (11) should be done by AID, not by outside experts. Similarly, the identification of which Agency staff fall into each of the four personnel clusters should be made by AID.
13. The implications for current course of the above are not clear. We do not know today how well individuals perform after completing AID's various training courses. To determine where we stand today, PPC/E/PES and PM/TD have agreed to carry out a diagnostic experiment in June. The experiment will test the skills and knowledge of individuals who complete the June orientation, IDI and PDE courses. The degree to which design and evaluation is covered by other Agency courses is being considered to determine whether they too should be included in the diagnostic experiment.
14. Based on the outcome of (13), AID will be able to define the need to upgrade its training programs so that behavioral objectives with respect to knowledge and skills can be met.
15. While the results of (13) are not known yet, some ideas for altering the basic course, PDE, have been discussed, including:
 - o Lengthening the course
 - o Breaking the course into four 1 week modules (on each topic) and rotating them so that individuals could complete "high" modules over a period of time;
 - o Using the current 1 week course to serve those designated in "low" personnel categories and developing advanced courses in one or more of the topic areas;
 - o Putting whatever is needed to achieve "low" in the basic AID orientation program and requiring that all Agency personnel achieve "low" behavioral objectives;
 - o Breaking out the current design and evaluation segments of the IDI course and giving them to more people, e.g., everyone who is going overseas on assignment.

The best options from among these will be pursued based on the results of (13) and other exercises discussed above.

16. Any review of AID's training courses should examine options re the training techniques used, e.g., workshops vs lectures vs audio-visual aid, such as videotapes. The current combination in the PDE may or may not be optimal. Such a review should consider each option in terms of (a) effectiveness and (b) staff requirements. Less staff intensive/contractor intensive approaches may warrant more consideration now than in the past.

17. It is the judgment of the full work group that AID's training priority should be AID personnel. In that light, a reexamination of the PDE and other courses that cover design and evaluation should reexamine current choices about the frequency with which courses are provided in Washington vs field locations. The best ways to train the largest number of AID staff vs non-AID personnel are to be preferred. Even when AID training focuses on just AID staff it may not be sufficient in its coverage to ensure that AID approaches are used and used correctly throughout the Agency.

UNITED STATES GOVERNMENT

Memorandum

TO : PPC/E: Molly Hageboeck

DATE: May 7, 1981

FROM : PM/TD/MD: Kenneth  Smith

SUBJECT: PROJECT DESIGN & EVALUATION TRAINING - Considerations for the Task Force.

1. David Kitson and I appreciate the time that you spent with us yesterday discussing the "needs" analysis for training personnel in Project Design and Evaluation, and current efforts underway by the Task Force to improve the level of understanding and utilization within the Agency in these topics.
2. In the attached paper, I categorized the major operational concerns and constraints under which we have operated in the past (and which in all likelihood will continue for the foreseeable future) as we discussed yesterday, as these should be taken into consideration by the Task Force in developing its recommendations for future training programs.
3. Hopefully, from this process, a more effective program will emerge.



5010-108

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PROJECT DESIGN & EVALUATION TRAINING IN AID
Some Operational Considerations in Developing
Recommendations for Change

May 1981

Kenneth F. Smith, PM/TD
PD&E Course Project Manager

BACKGROUND

Courses in Project Design & Evaluation have been designed by PPC and conducted by, and for, the Agency for International Development; in-house and/or under various contracts in conjunction with individual consultants, contractor business organizations and universities, with minor changes in level of effort, content and emphasis, for some ten years now.

Despite these efforts, and even taking into consideration the fact that the total Agency staff has been reduced over the years and the low priority accorded training by AID in allocating Operating Expenses; given the resources available for training (staff and Budgetary support) we have been unable in the past, and will be unable in the future to keep up with either the projected need or the anticipated demand.

SCOPE

The Agency staffing level is approximately 5,500 (US and Foreign Nationals), of whom approximately 65% probably have a need to be acquainted with the Project Design and Evaluation Process in something other than an awareness of acronyms or approximately 3,600 people at any given time. With our current contract to DIMPEX Associates, we are currently reaching about 360 people per year, through 12 monthly courses of about 30 people each. In addition, IDI's have been singled out for special attention and given extra, intensive training beyond that offered in the standard course. Thus if things were to remain static, we could reach the total in-house target audience in about 10 years, and indeed might reasonably even have been expected to have attained it by now, given the long PD&E training experience during the decade. However, the situation has been, and still is complicated by two factors:

- 1) Even though the personnel levels have been almost stationary for the past five years after an earlier five year period of rapid decline, the population is far from stationary. There is about a ~~10%~~ 18% annual turnover -- or about ~~360~~ 650 new people each year with a need for PD&E training.

Thus, many people are proceeding directly to overseas missions and working with little or no exposure to the fundamental procedures by which the Agency operates. They are expected to acquire such knowledge on the job, and indeed this is their only recourse. From the training standpoint, after a substantial period of on-the-job experience, the necessity for a formal course in PD&E may be obviated.

However, at this juncture, we don't know who they are, or how many; what they have acquired and/or what they lack, and there is no objective test or provision for "certifying" them. Consequently most people who attend the courses have had some exposure to the process, but it has all been different, and we cannot assume any common base.

- 2) Our target audience for PD&E training is not (and cannot be) limited to AID direct hire staff. Numerous contractors, universities, and Private Voluntary Organizations who work with AID (or who hope to do so in the future) need to be familiar with the concepts of AID's PD&E processes in order to be effective in their work. They are now designing and implementing projects which require a full understanding of log-frame and other AID-specific processes. It is to the Agency's interest to provide such orientation and training to them, rather than enduring the frustrations that occur on the job from unfamiliarity. Currently, approximately half of our PD&E participants are non-AID personnel, and the demand from this sector seems to be increasing, rather than abating.* AID personnel receive priority in scheduling participants for courses, however.

Thus, for the foreseeable future there will continue to be a heavy demand for PD&E training from several diverse sources.

Participants

In the past, we have been unable to control the type of participants who attend the courses, (except IDIs) to establish homogenous groupings. We have announced the content of the course and suggested those for whom it might be appropriate, and also (in other programs) established "pre-requisites". Nevertheless, in the final analysis, about all we can control is the number of participants.

From time to time, certain courses have been suggested as "desirable," or even "mandatory" for certain categories of personnel. However, there is presently no way of enforcing a "mandatory" requirement. First we do not have the capacity to provide training to all those for whom it is mandatory within any reasonable time-period (due to funding limitations and geographic dispersal of personnel already in operating positions). Second, deferring assignments or penalizing individuals who have not met requirements (such as withholding promotions, or consideration) would cause an operational "log jam" in reassignments and grievances filed by individuals "denied" the opportunity to take the pre-requisite because of the Agency's inability to offer it!

The AID composition of any class is a function of time, place, and availability of personnel. These may vary from a Mission Director, an administrative staff officer, a technical officer, to a newly hired foreign service national technical assistant; all with widely diverse experiences and interests. Outsiders add even more variety.

* No charge is presently made for our courses, even though it costs the Agency money (through contracting out) to provide them. It has previously been raised with the controller on this and several other programs that a charge be levied by the Agency on outsiders, which could have the direct effect of compensating the Agency for the additional level of effort and consequent cost required to handle external demands for such training. These recommendations have never been approved however. It might be worth pursuing again, by PPC.

This situation is not likely to change in the future. Thus, our course -- even though announced as PD&E -- cannot be exquisitely custom-tailored to meet only the needs of a particular sub-set (such as Evaluation Officers, or Project Officers) but must be pre-cut to suit the diverse requirements of all-comers (at least within the Agency) with an interest in the topic, especially AID field project officers. Since after initial orientation, the likelihood of seeing a particular individual in more than one training program within several years, is remote, we tend to treat each participant as a fleeting "target of opportunity". While within our reach, we try to sensitize these individuals to collateral aspects of PD&E that will help them in their performance on their return to work.

For your information, in the near future we do plan to expand the current orientation program for new employees to four weeks, and include in this time period an expanded treatment of PD&E topics over what orientation currently provides (about 2 days now).

Recommendations for course redesign should take the lack of class homogeneity into account.

Locus, and Level of Effort

The greatest need for PD&E training is overseas at the missions, where the bulk of the project design and evaluation work is done. Most new hires in the Agency now overseas, proceeded to their post with a minimum of orientation and/or familiarization with PD&E. IDIs in the past year have been more fortunate. They are now receiving intensive PD&E training before assignment (conducted by in-house personnel). This focuses on Design and Evaluation processes, but has relatively little attention to statistical evaluation or management information system methodology.

Because of personnel distribution, scheduling opportunities and limited travel costs -- the PD&E courses are given about equally in AID/W, and overseas. We have about six courses a year in Washington which attract AID/W personnel, mission personnel on home leave, TDY and rotational assignment; and another six courses which we attempt to distribute as Regional Courses in each of the Bureaus, and at missions where the greatest need is evidenced by requests for training.

In addition to American Foreign Service staff, the overseas courses are generally heavily subscribed by foreign national staff, who receive little or no other formal training in AID management processes, but to whom the bulk of the day-to-day work is gradually shifting.

The present PD&E course lasts one week. To do less than a week would not be cost-effective, particularly overseas. It is conceivable that a two week course could be conducted but to do much more would degradate any involved missions capabilities to function. But the real issue is not one of time in a course, but of what the participant needs to know for on-the-job effectiveness, and then allocating the appropriate time in class to teach him/her.

There are tradeoffs that could be made, but they all incur penalties. Reducing the total number of courses and holding more sessions to accommodate more (or varied) content, limits the impact in terms of the number of participants we can reach. Packing more into the present curriculum on the other hand would tend to water-down the present coverage.

Obviously, there is always room for improvement, and we welcome the Task Force's analysis of needs and recommendations. However, they should be cast in the context that more, and/or longer courses than the present level of effort can only be conducted if funding levels (both for training and Operating Expenses) are increased considerably above current levels; or more direct-hire staff detailed to conduct training courses. Neither of these increases is likely.

PD&E Course Content

We are confident that the present course material is reasonably well developed to cover the majority of needs for most of the participants in Design, and a familiarization with the bureaucratic process (not the substance) of Evaluation.

An outline of the present course curriculum is attached. Within the present one week framework, the logical framework and its use in design and development is emphasized. The tie-in with indicators for design and subsequent evaluation is also highlighted, as well as the limitations in obtaining it. AID procedures for Evaluation are also reviewed, and a sample PES and evaluation review meeting provided. An articulated case study is used throughout to provide some continuity to the process. The course is presented as a small group workshop, interspersed with plenary session lectures on each major topic. Thus ample opportunity should be provided for interaction between participants to share the knowledge they may already possess, and apply the concepts that they are taught during the week.

Within the present one week framework, we are only able to treat networking/scheduling techniques for planning and monitoring superficially. We also barely mention fundamental statistical concepts (which could heighten awareness of anyone who plays a role in determining data requirements and/or data analysis in design, implementation or evaluation). Some reference literature on both these topics is furnished to the participants during the course, but without a formal instruction session, very few are likely to develop any proficiency with these tools. No training is currently conducted in management information systems for project implementation, (which would also facilitate monitoring and evaluation); nor are fundamental administrative management practices covered.

We continually look to the course participants as well as other personnel from missions, operating Bureaus and PPC/E for feedback to determine the actual needs of training course content. In this manner the PD&E course has steadily evolved over the years to its present state. Certainly, we expect that as a result of the task force's in-depth review, further modifications will probably be warranted. We strongly urge however, that any recommended changes be presented as specific, substantive, constructive, and incremental and well supported by the group as a whole. Vague, inconsequential, destructive, sweeping generalities, or a composite of comments representing the isolated opinions of only a few are not helpful. The bulk of any curriculum redesign effort must rest within the Agency, rather than be contracted out. While we in PM/TD stand ready to assist, the initiative for change and responsibility for any redesign must remain with the Task Force until the course is in a format and substance deemed suitable for AID field officer presentation. When it is in a teachable, contractable form, PM/TD will take the lead in endeavoring to obtain a contractor to teach this revised course. If we pass the responsibility for course redesign to a contractor by amorphous statements of "objectives" or desired "learning outcomes" we will only invite a long and expensive hiatus, while the contractor tries to rediscover what the Task Group already knows.

The essential thing in designing the course is to keep in mind what the typical non-IDI, AID field officer needs to know to do his/her job effectively, and then to prepare the material and teaching units to fit within the available time.

Instructors

Emphasis in the past has been to contract out the instruction for PD&E. It can be reasonably argued that PD&E is an "in-house" operational function and that it takes AID-related (and particularly AID field related) experience to effectively know and design what AID officers should know. However, once course material has been designed, it has generally been our experience that effective instructors are harder to come by, and are not necessarily those with operational experience. Because of other operational duties, direct-hire staff who also express an interest in teaching are not always available, even for ad hoc presentations, and can rarely be assigned and committed for frequent repetitive training stints in AID/W and overseas, often at short notice. Without a stabilized training "crew", the course can be rapidly decimated as random guest lecturers usually tend to ignore the curriculum lesson plan, and ad lib their own thoughts of varying quality as the occasion strikes them. As an occasional provocative discussion group leader, or keynote speaker, such tactics can work well. For a total package, repetition, and less than effective coverage usually result. As a compromise, we have attempted to supplement the contract training staff on occasion with a direct-hire field experienced project officer on rotation to AID's training staff. Additionally, contractors have also sought out former AID personnel to supplement their training stable; in the present situation with DIMPEX, particularly Robert Hubbell and Philip Sperling.

With new personnel ceiling cuts already programmed for FY 1982, and a continuing policy to contract out whatever work can be moved in that direction, it is highly improbable that the trends of the past will be reversed.

Contract Funding

Funding for the current PD&E Contract with DIMPEX expires at the end of this Fiscal Year, and there are four seminars remaining under the contract -- one overseas, and three in AID/Washington, as follows:

- NE/AFR Region - Cairo - May 24-28, 1981
- All Sources - AID/W - June 15-19, 1981
- All Sources - AID/W - July 13-17, 1981
- All Sources - AID/W - September 14-18, 1981

(I urge any of the task force members who have not had an opportunity to do so recently, to observe or participate in any of these courses).

Any major change cannot be implemented before then, with the possible exception of an individual pre-test and end of course examination, if one could be developed by the Agency in the near future. Furthermore, no new contract can be negotiated until new fiscal year funding becomes available. Thus, even without any change in course curriculum, we are facing the possibility of a slow down in the pace of training, and ad hoc in-house instructor improvisation for the first quarter of FY 82.

Contracting-out options are limited; and of the viable options, all take time; some longer than others. The easiest and fastest route, if it is deemed most acceptable to the Agency, is to renew, or renegotiate the current contract with DIMPEX. This could probably be accomplished within a month.

DIMPEX is a minority, small business (8a set-aside) contractor with 2 years experience (albeit mixed) in teaching PD&E, as well as 5 years experience in direct project design and evaluation experience to AID missions abroad. If DIMPEX is not the Agency's first consideration for teaching new PD&E courses, the Agency will have to provide considerable justification to the Small Business Administration to warrant seeking out another contractor. This could be a protracted discussion. If obtaining another contractor is the preferred route, all other "8a" firms must first be thoroughly screened to determine whether one of them is qualified to undertake the scope of work being contracted. This takes considerable time. If none of these firms is determined to be suitable, and this can be demonstrated to the satisfaction of the Small Business Administration, we can prepare a Request for Proposal, and advertise competitively. The time frame for obtaining a contractor by this method may be several months.

IQC's are not available to us for this type of program, because we are seeking a capability to perform a service over an extended period of time, rather than a short-term one-time service. Similarly, Personal Service Contracts (to obtain individual instructors) are also not available for stateside service as their use is limited to meet overseas service requirements.

Purchase Orders can be used from time to time for small (\$10,000 or less) procurements but their extended use for repetitive training programs of the nature of a PD&E course could not be warranted, even if within the dollar limitation.

In any event, for any option, (after consensus has been reached by the Task Force and approved by Regional Bureaus) the Training Division will need the active cooperation, participation and technical assistance of concerned Bureau representatives to determine the next contractor, and what they will be required to teach. We anticipate this effort should begin by July.

In conclusion, I am pleased to have had this opportunity to contribute to the Task Force's deliberations, and am ready to meet with them in the near future to discuss any of the foregoing (or other) issues pertaining to PD&E training.

PD&E COURSE CONTENT

DAY 1

Pre-Seminar BASELINE DATA exercise (Participants self-evaluation of skills)

DESIGN & EVALUATION in the AID Programming Context (Policies, Constraints, Process)
CDSS Documentation PID, PP, PROAG, PES

MEANS - ENDS ANALYSIS

THE LOGICAL FRAMEWORK I - Introduction, with emphasis on columns 1&4 (Logic &
Assumptions)

Case Problem (HEPTAR) workshop to develop logframe to design a project

DAY 2

Building EVALUATION ELEMENTS IN DESIGN (Log Frame, Column 2)

Planning for DATA COLLECTION (Log Frame, Column 3)

Case Problem (Heptar) workshop on developing INDICATORS and MEANS OF VERIFICATION

Presentation, Review and Critique of Case Problem LOGFRAMES

DAY 3

PLANNING AND SCHEDULING using BAR CHARTS & NETWORKS

Case Problem (Heptar) workshop to develop network

Presentation, Review and Critique of Case Problem NETWORKS

EVALUATION PLANNING, and SCOPE OF WORK for an Evaluation

DAY 4

EVALUATION PROCESSES AND METHODOLOGIES -- Overview

Introduction to DATA ANALYSIS

Case Problem (Heptar) workshop on Data Analysis

Presentation, Review and Critique of Case Problem Analyses

Presentation: Simulated Project Evaluation Review Meeting, and critique

DAY 5

Introduction to SAMPLING -- Reasons for Sampling

PLANNING & DESIGN OF SURVEYS

Workshop in designing a QUESTIONNAIRE

Workshop - simulated INTERVIEWING, using questionnaire, and critique

EVALUATION REPORTING - PES

DATA/INFORMATION RESOURCES -- DEVELOPMENT INFORMATION UNIT Capabilities

Post-Seminar Exercise, and critique of Baseline/Post Project Data

WORK GROUP MEETINGS: "INSTANT REPLAYS" AND SESSION MINUTES

Notes from 2/17 Meeting on
Implementing the Evaluation Task Force Recommendations

OBJECTIVES:

- (1) What parameters and who ought to do it?
- (2) Define what is to be done.
- (3) What is authority of this group?

Information Needs and Evaluations That Meet these Needs:

Recommendation--3
Recommendation--2
Recommendation--9

- What did interviews show us about what were the needs?
- What were results and what were failures?
- Which needs are responsive to evaluations?
- Evaluations come from Congress. There is nothing self-initiated. Congress wanted specific examples of replication.
- Want to show cases where technology and project design or anything from other bureaus.

Three sources of information needs: (internal, external, internal)

- (1) project management levels
- (2) policy questions, budget, etc.
- (3) assurance that Agency has a system that works.

- Analysis of CDSS of each sector and come to general conclusions with subsectors of next 5 years.

Most important for Recommendation # 3:

Are there ways to make objectives clearer? Does one lose too much by trying to articulate better how to use resources and plan activities?

- Would using the CDSS be generated thru evaluation work be most likely to capture this. Not only CDSS but ABSs.
- What is upcoming and designing in the future? (agri-business, small scale enterprise).
- Not an explicit process of analyzing. Should be initiated thru group observations.

Notes from 2/17 Meeting of Implementing Evaluation Task Force
Recommendations

- Approach in another perspective, what are policy needs, funding needs and program needs? How do we define them. How to design research on evaluation. We need to do both.
- We should focus on what evaluations can do. Not on research. The job is to work on the evaluation.
- Modify a process or policy direction. We need not involve ourselves with out-growth. Research should be a different form.
- Look at agency policy papers to generate information needs.
- How do we gather the elements that are within information needs?
- The evaluation plan is a strategy for getting information. The process needs to be articulated.
- Get on paper what it is the bureaus are doing would be a first step to improvement.
- How much guidance should go out to Missions?
- What will happen first? What are substantive things?
- Each level look at its own need and articulate bottom up to decide which needs are priorities.
- How long would it take to be able to cover your bureau and reach conclusions as to priorities?
- What are equivalent ways to do it in a Mission? Working from CDSSs up. Spell out the steps.
- Articulate examples that are best. How one might relate to those cycles to decrease the whole exercise by fitting in and supplementing.
- Specify what their needs are. It depends on how important the policy issue is.
- Merge mission needs and bureau needs.
- Just say what it is and do guidance later. We have to have some guidance. Tell what it is we want but some description of what is an issue driving process.
- Use CDSS to generate issues we want.
- Write what an issue driving process should produce.

- Issues cannot be addressed across the board
Some issues will be resolved
New issues will come up
- The recurrent costs will be solved.
It depends on primary purpose to address recurrent costs.

Common and standard issues:

By class of project is a common issue, e.g., irrigation.

- Pay attention to Evaluation Handbook at standard generic issues which should be covered in evaluation issues.
- Make sure what is done is properly set up.
- How do we make sure that such issues are properly addressed?
How do we get all those things together?
- Individual efforts will be directed towards individual needs.
This cannot impose a system.
- An up and down process when we see what people need.
- What is process of core issues?
- Let PEC take a look at agency plans; basic scope issues;
just project level.

Lessons Learned:

- Not the same as conclusions.
An abstraction.
- Lessons learned focuses on goal-purpose not over burdening
the existing system.
- The criteria should be at the goal-purpose level separately
from the project-purpose level.

There are three levels of activities.

- (1) policy
- (2) program and project design
- (3) implementation

- Must focus on all three levels. Abstract little bit more. What
is unique?
- Design lessons learned into process of scope of work.

Implementation of Evaluation Task Force Recommendations
Meeting of 2/17/81

- Reason for evaluation is to learn lessons. We need better guidance to do this.
- Is there anything we should do in the future that will get us at the purpose-goal level that we have not included in these steps?
- What are incentives Bureaus might take?
- Impress upon Mission in terms of doing evaluations.
- Make appropriate monitoring level decisions.
- Provide funding and assistance in the design of evaluations.
- Get a picture of what has been accomplished. Every project should be looked at in terms of whether it should be evaluated and reasons for not doing an evaluation.
- Focus on Phase and Pilot projects
- The problem is the timing in the ABSs not the evaluation.
- Project purpose and goal comes out of presumption.
- Impact is anything and everything a project does even out in the field. It is an evaluation methodology.
It is suited to uncover a certain degree of validity.
- What is this evaluation design best suited to produce?
- There is a need for the Agency to initiate evaluations that are not being met by Missions or bureaus. Assess the impact evaluation with process and substance in 81 because so much concentration has been on individual projects. Make tests of value on final product than on individual.
- Do we keep adding topics?
- Some consideration on how the Agency gain credit. May need a peer review publication board to think about what gets into publications.

Evaluation Planning:

Recommendation--6
Recommendation--5
Recommendation--8.

The basic process will be bottom up.

- What do we want in evaluation plans?
- Should plans be more than a collection of initiatives taken by all levels and units and should it be a product which allocates resources?
- If PESs are taken out of the game then there is an automatic drop and what is left is more than seen.
- Should priorities be set? They were set by the Administrator. Mostly small scale irrigation. Only 1 where something else was done.
- If we are going to have evaluations that are essentially done, then irrigation is one.
- To rationalize some of this is reason for planning evaluations: It has to provide everyone to state what they need. A procedure for discussing these needs.
- To identify what they anticipate doing and what needs they have which come from outside of their missions.
 - (1) What they are planning.
 - (2) What kind of information they need.
- Form small working group to address methods, substance and process for evaluations.
- To identify needs has to be connected with time frame. Key principles to keep in mind. The plan must provide a review and feedback to the Missions. Full opportunity for the Missions to respond. It has to come up with a definite plan. A portfolio
- There is an opportunity to fund for ex-post evaluations in the project budget.

- Project papers initiate dialogue.
- Very well developed evaluation plans. Evaluation plans not always executed.
- Should deal with do we need to evaluate this? Is it of value? Sometimes project is too intermediate.
- Have someone take a look at Handbook 3.
- Create a management monitoring plan and use information for evaluation.
- Maybe we should say who should design.
- Could evaluation and monitoring be integrated into system? Look at both.
- Do not need to evaluate the economic and social principles.
- What design needs to be in the plans and in the project papers. Those evaluations which relate to the need in the beginning but not ex-post evaluations.
- A Project Paper needs certain minimal elements. Each project stands on its own. When looked at, are they doing what they said they were going to do?
- The plan cannot elicit long term planning.
- In a project paper review you can instruct.
- In writing the project paper do not omit the evaluation.
- The guidance should say at least minimal what is needed.
- Link budget and plans with monitoring and once that is at the project level what about mission plans?
- Consult evaluation plans in the approved project papers.
- It establishes a linkage that there is some connection in the project paper as to what they said they were going to do. We want to be able to look at the common issues and not the rationale we want the issues to be addressed in substantive evaluations.
- Everything funded out of the project will be specified out of the project paper stage.

Meeting of 2/17/81 on Implementing the Evaluation Task Force
Recommendations

- Start with Project Papers for the portfolio in Mission plans.
- What is it they have to get out of it?
- Reasonable plan of action.
- What information we will generate and what information we need.
- Bureau plans would include the negotiation process.
- The Bureaus have needs that missions don't require.
- Justify doing an evaluation; review process which is the active thing to do.
- Common analysis, coordinate a parallel process.
- One problem of bureau plans is not looking into programmatic sectors.
- Build into the process; here is a set of things we think we should Approach it flexibly.
- The plan would be a two-stage process.
- The draft would be a suggestion to get a response.
- Maybe Mission draft could be included as annex to CDSS or ABS.
- Some mechanism should control the process. It should be given limited resources.
- We need some sort of joint review of the whole plan.
- Provide the form of brokering to take place.
- Have a final Stage I and Stage II, not a rough draft.

INSTANT REPLAY

Without the details that a full set of notes will provide, we have reached the point of defining two basic actions to be taken with respect to Task Force Recommendations 3, 2 and 9:

Recommendations 1 and 2 : These come together as one action:

- o Someone -- an as yet to be named action agent/group -- will prepare a draft description of an "issue driven" process for identifying evaluations. The description will cover what the process should produce, how it might work and will provide one or more examples. The description will recognize that there are three main sources of information needs: Congress (external), specific projects (internal) & a third (internal) cluster that includes AID/W, program planners and policy developers who may/may not be AID/W staff.

Notes on this include:

- o the description will focus on the identification of issues, and hence, evaluations that look beyond the Output level of projects, but it won't discourage Missions from doing input-output level work, as needed, for management purposes.
- o It will focus on the internal process -- not the Congressional one. Though it will look at how the two work together to lead to final decisions about what evaluations need to examine.
- o It will use examples and describe real rather than imaginary processes, e.g. Asia's bureaus' "CDSS up" and PDC's "policy down" and India's "into the future" examples. (That will mean that the authors will need to get information on these examples.)
- o As part of the "process" this draft will describe -- it will talk about how the preparation of plans by missions might trigger bureaus to identify issues that several evaluations have in "common" -- and make decisions concerning such special treatment as these might require. In a similar fashion bureau plans should trigger PPC/E reviews of "common" issues across evaluations/bureaus, and some form of coordination on these.
- o In the description, terms such as lessons learned -- that may now have several meanings, if used, can be clarified -- by descriptions and through examples. Similarly, distinctions between an evaluation "issue" and an evaluation "question" -- and the role of the evaluations eventual user in specifying these can be clarified and examples provided.

The description envisioned is one that could be the eventual guidance on the type of planning process the Agency is trying to put into place -- with this portion of the description paying attention to how information needs are defined -- and another, "evaluation planning" portion; defining the form in which decisions about actions to be taken on information needs are conveyed.

ACTION ASSIGNMENTS -- When we come back to this we need to remember that some of the data will need to be secured from those with experience in the "processes" to be described.

Recommendation 3: Somebody -- to be defined -- will, during this year, take a look at the methods, substance and process for impact evaluations.

Notes on this include:

- o Looking at all impact evaluations -- not just the Administrator's series is what's needed.
- o The question of whether a "topic" approach continues to be appropriate must be raised.
- o Way's to institutionalize impact evaluation need to be addressed.
- o Incentives need to be identified/made real -- how this will be done needs to be addressed.

ACTION ASSIGNMENTS -- When we come back to this we need to remember that it seems like the action must be an interbureau one, rather than a one office action.

A F T E R N O O N S E S S I O N R E P L A Y

Evaluation Planning: Recommendations 5, 8 and 6 -

The order of discussion at the afternoon session differed from the order proposed in the agenda. The participants used the following sequence:

- o Which projects need plans (Recommendation 5)?
- o What goes in those plans (Recommendation 8)?
- o How do these project plans, and other evaluation plans, fit together into an expanded Agency planning process (Recommendation 6)?

The overall action assignment for these three recommendations called for a small group to develop a draft evaluation planning process statement that would incorporate the answers given on each of the three questions above.

Answers, by Recommendation, were:

Recommendation 5: Identifying projects that will be evaluated

Notes on this included:

- o At the time of project design, the question of whether a project should be evaluated needs to be raised. The participants in the work group anticipated an affirmative answer when the project is a pilot project, a Phase I project, a project which has replication as a major aim or justification, and projects that are experimenting with or demonstrating new technologies or interesting technology improvements.
- o In addition, other projects could be identified as requiring evaluations -- for reasons specific to the project, mission, bureau, etc. The range of reasons here cannot be prespecified, but they could be known at the time of project design. What is important in this statement is that evaluations (beyond monitoring) not be scheduled without some explicit and clear reason that is identified.
- o Further, the participants expected that the proposed changes in evaluation planning at the time of project design would result in some post-design (and post-project) decisions to evaluate projects. These evaluations could be scheduled when project circumstances in-

Recommendation 6: An overall evaluation planning process

Notes on this include:

- o In general, the process will be a "bottom-up" process that works from project-to-mission-to-bureau-to-Agency. One factor which acts as an exception is the impact series managed by PPC. This series must specify its topics in a manner which allows the overall bottom-up process to take into account what PPC needs to address -- which can be developed based on policy/program issues, the Administrator's wishes, etc. Thus, the planning process will need to specify a time -- in advance of the point when missions prepare plans -- for identification of impact series topics. All levels will supply budgets.
- o The elements of the Mission plan will be information the Mission will seek plus an identification of information the Mission needs from outside (e.g., other Missions, the bureaus, the Agency). The sub-elements in the portion of a Mission plan that addresses information the Mission will secure can include:
 - project information (via planned evaluations in project designs)
 - project information via evaluations planned after the design of a project -- ad hoc, special circumstances, etc.
 - non-project information from evaluations of what some other entity than AID is doing in country, or old-project information (country program histories), or program-level information from program-level evaluation.
- o Bureaus will have a review and approval role with respect to Mission plans -- including timing and budgets.
- o Bureau plans will identify all evaluations in the missions if the bureau is a geographic one, and identify bureau initiated evaluations. The participants anticipated that bureau-initiated evaluations in the geographic bureaus would examine sectoral issues, cross-cutting issues, and other information needs not addressed by Mission evaluations. As at the Mission level, both a rationale and budget would be prepared.
- o The central bureau evaluation plans will follow somewhat different patterns. The information needs identification process for the central bureaus (Recommendations 1 and 2) will be the basis for evaluation planning. In these plans too a rationale and budget will be expected. Additional plan sub-elements would need to be examined on a central bureau-by-central bureau basis.
- o The Agency evaluation plan would be prepared in several steps (drafts) with the first draft stating each bureaus plans as presented, the second showing how bureaus had reconciled differences/duplication based on the first draft. The second draft would be reviewed by the PEC, from an

that an evaluation was warranted, or when mission, bureau or Agency information needs suggested that an evaluation of a project be undertaken either during the project's life or on an ex-post basis.

- o Thus, the participants felt that it was important for all projects to continue to have a design basis for evaluation -- a Logical Framework of objectives, indicators, assumptions, etc.

In this discussion the participants raised but did not resolve questions about the need for baseline data and project monitoring data. In theory, these data bases facilitate evaluation; in practice, the impact evaluation series has been undertaken in spite of the absence of such data.

ACTION ASSIGNMENTS: When we come back to this recommendations, we will need to:

1. Define what small group should draft materials on determining when an evaluation should/should not be planned, including material that does away with existing requirements which run counter to the decisions/recommendations in this area.
2. Decide how/who should continue to investigate the questions about baseline and monitoring data that we raised but did not resolve...and to the degree that further work in this area needs to be written up, who will be responsible?

Recommendation 8: What goes in a project evaluation plan and how is it reviewed?

Notes here include:

- o The elements of such plans would be (1) a rationale that answers three questions: why an evaluation is planned? what issues it will address? what specific questions it will be expected to answer? and (2) an evaluation budget. In addition, the plan will need to specify roughly when the evaluation is to take place (in terms of accomplishments, rather than a calendar), what monitoring plans exist, what baseline data exists, etc. (The baseline and monitoring issues need further discussion per Recommendation 5).

ACTION ASSIGNMENT: The small group that addresses Recommendation 5's drafting task will also draft material on project evaluation plans, and will include examples of what is intended.

Agency wide perspective -- this review would examine the patterns of evaluation choices, omissions that appear to be important to a cross section of the Agency, the overall resource expenditure plan, etc. The PEC review would lead to a third draft, final circulation among the bureaus, and printing.

- o The timing of this process would follow/fit with other Agency processes -- appropriate timing for specific events needs to be examined/proposed.

ACTION ASSIGNMENT: The small group assigned to drafting material for Recommendations 5 and 8 would also draft material regarding these processes, together with examples of what plans look like at each level.

NOTES FROM MEETING ON 2/23/81: Implementation of the Evaluation Task Force Recommendations

Recommendations discussed were #4 and #7

- A synthesis is the pulling together findings of multiple evaluations. The gathering of a trend.
- Summary was said to be the conclusions of an evaluation. Summary is why abstracts never get read or used.
- Synthesis and summary relates back to the planning process.
- Resources are involved at the bureau level.

Where should process happen? How much would be on the shoulders of the unit?
- Do we want a single process?
Three processes we now have:
 - (1) DIU abstracts
 - (2) Lessons learned
 - (3) Bureau summaries
- We want to connect to the user. Reduce the amount of information in the evaluation before we pass it on.
- An evaluation team is helpful to be asked to summarize.
- Verify that summaries are active but find needs.
- De-emphasize reports which should not be guidance for acting further.
- DIU prepares abstract to go into system.
It is difficult to put in abstract and later on go in and modify.
Could create separate fields and add fields to existing abstract.
- If report is not worthy of being abstracted it would be cost saving.
- We should not depend on DIU but add assurance and offer assistance.
- Identify coverage and make sure emphasis is on content.
- Something has to be done on development problem.
- What purpose of evaluation was and little about how much effort.
- An abstract is useful if it assesses the evaluation. It should not be misleading at all. Point out some limitations of the evaluation so that people will not have to dig through the whole document.
- Describe general type of methodology used.

-- Provide context to note what changes occurred or if there was no evaluation prior to that since the project started.

-- Questions asked would be included in issues addressed.

There are two things we are trying to do:

(1) improve quality of evaluations

(2) insure that they get used

-- The bureaus should have more use of its evaluations than anyone else does.

-- Some responsibility should be left in the bureaus and responsibility should rest with the initiating offices.

-- For all evaluations we are talking about author summaries.

Distribution of the PESs was discussed and explained.

The PESs are sent to MO/PAV to reproduce 30-35 copies. A copy is sent to bureau evaluation offices with original and sent to other offices in the Agency. DIU receives 4 copies. Within 6 working days all relevant offices will have received them. PPC/E keeps monitoring of what evaluations have been done.

All evaluation offices prepare a report of all evaluations received and DIU check to see if each of those have been received.

-- Should we only send to evaluation offices for screening or to MO/PAV?

-- DIU would like to have more guidance on abstracts. They do abstracts from all PESs.

-- Multiple projects demand good evaluation and substance of knowledge. Some sets are too narrow when synthesized.

-- What is it that we really need to synthesize?
Look at ones that seem to have some truth.

-- We need technical experts involved in doing multiple evaluations. It is an issue driving process. Pattern analysis may not worth it.

-- Integrated into means that the design of an avaluation and the determination should be influential in making of decisions reflected into the CDSSs and the CP. The exercise would create the demand and also reflect results of work already done.

- Project officers in the field and missions should say what reports they actually see and what they are using. We need a better notion of what project officers see and what they are using.
- See about some incentives for amendment.
- Further attention should be paid to what the Agency now does to utilize findings.
- Include some reference. Sometimes reference is more general. List the evaluation.

Meeting on 2/25: Implementation of the Evaluation Task Force Recommendations

Recommendations Discussed were #10, #11, and #1.

- Content of basic evaluation techniques are reasonable design and reasonable monitoring so that understanding of an in-depth evaluation is know.
- The premise of the PD&E course is to be able to handle evaluations. Have sufficient understanding of more sophisticated types of evaluations. To be able to conduct an evaluation. Should have core understanding of the role of evaluations.
- It depends on how high a priority the Agency places on evaluations to determine how many and who does an evaluation.
- You must have good design to evaluate well. Content should be the technology that is going to be promoted.
- It was said that the logframe confuses people. You need a system where you design a causal chain. The boxes in the logframe are not defined explicitly enough.
- The best workshop was the impact workshop.
- It may be useful to ask what kind of requisite you would need to make the PD&E course useful to you.
- It depends a lot on the prior education of the individual.
- Any basic tools of social science and economics for requisites.
- Trainers and talented persons should sit down and discuss design of the PD&E course.
- Bring people in groups who are going to face design in major evaluations and give a day or 2 of generics.
- Categories of persons needed to have the PD&E course would help.
- The people we need to demand evaluations who are not very articulate need to be more articulate.
- Private tutorial may help if offered to persons who are too high-up to take training and just refuse to training courses.
- The main point should be on giving people a much better idea of doing evaluations.
- Improve the quality of the core evaluation staff. Even people formerly assigned to do it would be a key target.
- The PD&E course should be a lot more rigorous.

- Design what are people supposed to know before and after a PD&E course.
- Priority is given to those who have arranged their home leave in advance for the course.
- Recommend that contractors or other persons outside the Agency supply funds for course instead of course being of no charge.
- It was recommended that the PD&E course be made mandatory.
- Recommended that you need mandatory skills to take the PD&E course.
- We should shift the resources to AID personnel.
There is no discipline in AID leadership to back up shifting to mandatory.
- There have some attempts on testing of the PD&E course.

- Recommendation #11 was not discussed in detail because there are various kinds of constraints.
- It will be set up so that the Administrator will want to hear oral briefings.
- Recommended to reiterate support from the Administrator. We would like to see the Bennet impact reports replaced.

REPLAY ON RECOMMENDATIONS 4 AND 7

On Monday, February 23, the work group addressed the Task Force recommendations that deal with the dissemination and utilization of evaluation findings. The action decisions and notes from that meeting are provided below.

Recommendation 4: Improved Synthesis and Dissemination of Findings

Notes on this recommendation included:

- o Common use of the term "summary" refers to the identification of important/significant findings from one evaluation; "synthesis" to the important/significant findings that come out of an examination of several evaluations (plus other information). No need was found for definitions of these terms -- but there was some feeling that we want/need to distinguish between the findings from one evaluation v.s. the findings from those analytic efforts which review multiple evaluations (plus other information).
- o All evaluations were viewed as needing some form of summary of findings -- and there was a feeling that some effort might be needed to distinguish between findings that were important only for the subject of the evaluation and those findings which might have implications for other projects, programs, etc. There was some feeling that evaluations teams might not always be able to make this distinction -- and that the identification of findings which are important for other projects/programs might need to be made by others, e.g., in the bureaus.
- o With reference to the "synthesis" of findings from multiple evaluations (plus other information), it was felt that these exercises were most appropriate when an "issue" had been identified that might be clarified through a "synthesis" of the evaluation findings that related to the issue. Reviews of multiple evaluations (plus other information) to "discover patterns" were not felt to be highly productive, unless their purpose was to identify "issues". (We left this discussion without trying to iron out the details of these comments -- but did take away the sense that such reviews should be done with a reason -- just as evaluations should be undertaken for a specific reason.)
- o The work group identified the elements of a summary of a single evaluation, but did not identify the elements of a multiple evaluation (plus other information) synthesis. The group could not identify an existing example of a good "synthesis". The elements of a single project summary identified by the group were:

- a) Statement of the development problem addressed by the project, program...
- b) Summary of the project/program approach
- c) Notation of changes made since the project/program was (1) designed and/or (2) last evaluated-
- d) The reason for the evaluation
- e) The issues addressed/questions asked by the evaluation
- f) The evaluation methodology
- g) Evaluation findings, conclusions and recommendations --- ("lessons learned" goes in here, with the footnote that under the ACTION ASSIGNMENT for recommendations 1 and 2 we've said we'd come up with a better definition of the difference between a finding, conclusion and "lesson", if there is any.)
- h) A comment on the quality of the evaluation
- i) Comments on which findings/conclusions/"lessons" are significant/important beyond the specific case (project or program)
- j) Supplementary findings/conclusions/"lessons" drawn from a review of the evaluation and other information

- o The elements of the summary identified as items to be drafted by an evaluation team were (a) through (g). Items (h) through (j), if added, would be added by some other party, i.e., the bureau evaluation officer, whoever called for the evaluation, e.g., the Mission, PPC, etc.
- o It was further suggested that if an evaluation team could prepare a summary, following instructions related to items (a) through (g), it might also prepare an abstract covering those items.
- o Following a long discussion of processes that might be used to store/ disseminate this information, the work group outlined the following:
 - Completed evaluations that arrive from the field to be distributed from MO/PAV per current distribution pattern, with possible amendment, if needed, concerning the terms (other than PES or in addition to PES) which would trigger such distribution.
 - Preparation of an abstract by DS/DIU covering items (a) through (g) -- or reworking of the author's abstract if provided.

- Completed by not keypunched DS/DIU abstract sent to bureau for review and entry of items (h) through (j). Fixed time allotted for bureau review/entry. If bureau response not received by end of fixed time, DS/DIU draft of abstract on items (a) through (g) entered into computer.
- Tentative fixed time period: 2 weeks.
- o Evaluations carried out through Washington would go to DS/DIU and follow the same procedure.
- o With respect to current DS/DIU backlog, work group decided that bureaus should review list of unabstracted evaluations and help DS/DIU decide which have priority.
- o In the area of multiple evaluation (plus other information) syntheses, work group determined that additional thought/conceptualization needed to be undertaken to decide: what they should cover, how they should be written up, how they should be abstracted/stored/disseminated.

ACTION ASSIGNMENTS

1. Somebody or small group needs to draft a new summary form that covers items (a) through (j) for evaluations of individual projects/programs as well as draft instructions on what goes in each element report. An example needs to be prepared along with the new draft form/guidance.
2. The process for moving from a completed evaluation into the computer and out to users needs to be more completely described, with details (e.g., time frame for bureau review, DS/DIU turn around time: from receipt of evaluation to computer, including bureau review, etc.)
3. If change in summary for individual projects leads to different term than PES, MO/PAV needs to be informed re distribution.
4. DS/DIU will circulate list of outstanding evaluations to bureaus for help in ranking priorities for entry into system.
5. Somebody or small group needs to get ideas about what we mean by a multi-evaluation (plus other information) synthesis on paper, hopefully with something like an example and get it circulated for comment, trial use, etc. -- (This will eventually lead to another set of actions, as yet to be defined.)

Recommendation 7: Utilization of Evaluation Findings

The work group went down two lines of thinking on this one which were characterized as:

1. Approaches which seek proof of utilization as a proxy for utilization -- and as a means of responding to Congressional inquiries about utilization.
2. Approaches which pay no real attention to documentation but try to "make projects and programs better" when evaluation findings suggest ways to do that.

In the final analysis, the work group felt that both tactics were appropriate. The notes that follow identify proposed approaches in each category.

Notes on (1): Proofs of utilization

- o Check and improve existing CP and PID/PP guidance about the use of evaluation findings to make sure they are on the right track
- o Add to the PID or PP requirement an encouragement or instruction to list evaluations reviewed.
- o Put something about evaluation findings use into the CDSS/ABS instructions --- but keep it SIMPLE!
- o Add elements to the Project Completion Report outline that call for some reporting on whether/how recommendations/actions coming out of evaluations were actually carried out and/or ask the Auditor General's office to start checking on whether post evaluation recommendations/actions are followed up.
- o Put something in the requirements for a project amendment about what evaluations say needs to be done and/or do this for congressional notifications.
- o Let the missions know that Washington appreciates information on utilization by telling missions how we've used it in reports and to "make other projects/programs better"

Notes on (2): Promoting utilization

- o Carry out some type of survey to see what "users" of evaluation findings (e.g., design teams, project review committees, etc.) actually see, identify where it's coming from, if it will be used.
- o Start a DS/DIU "clipping service" that sends key abstracts to the "right people" -- health evaluation abstracts to known health spe-

cialists in the Agency, mission with lots of health work, etc.

- o Get more AID staff involved in/on evaluation teams --- pick up on the finding from the PPE/E/S study which suggests involvement will alter commitment and maybe use of findings.
- o Double check what ever we draft on evaluation planning to make sure it really focuses on anticipated uses of evaluations.
- o Come up with better guidance/help for evaluators in tailoring text book methodologies to fit real constraints and get at the information that's really needed/likely to be used from evaluations, e.g. just what methods are appropriate for looking at a Phase I project that isn't through Phase I to inform the design of Phase II?, etc.

The work group noted that it had a lot more ideas about how to address utilization at the project level than it did at the program/policy level. Some more thinking on the latter is needed.

ACTION ASSIGNMENTS:

1. Somebody or small group needs to flesh out the ideas relating to proofs of evaluation use, and define next steps.
2. Somebody or small group needs to flesh out the ideas relating to promoting utilization, and define next steps.
3. Somebody or small group needs to conceptualize how to promote and document use of evaluation findings at the program/policy level and define next steps.

REPLAY ON RECOMMENDATIONS 10, 11, 12 AND 1

The final session on Evaluation Task Force recommendations, from a substantive perspective addressed evaluation training and steps required to ensure the effectiveness of evaluation system changes. Action decisions in these two areas are discussed below.

Recommendation 10: Improved Evaluation Training

Notes on this recommendation include:

- o There was agreement that at least three different groups of AID personnel need evaluation "training", though not necessarily a formal classroom experience in all cases. The three levels identified were:
 - the executive level, including senior personnel whose understanding of the purposes and uses of evaluation is critical if the evaluation system is to be an effective AID management and learning tool;
 - an intermediate level, including those staff members who need more than a basic understanding of evaluation, e.g., individuals who are/will be involved in designing and carrying out major evaluations, evaluation officers, etc.
 - a broad/general level, including those Agency personnel who do not fall in either of the first two categories, but who in the course of their work must have a clear understanding of the role of evaluation in AID, their own roles in AID's evaluation processes, and the type of evaluation work AID undertakes.
- o Discussions of what knowledge/skills were required at each level did not lead to the definition of "minimum knowledge/skills requirements" for each level. Rather, the discussions:
 - pointed out that the training process should not assume that AID staff come into training understanding basic social science concepts/approaches, e.g., the design of "experiments", hypothesis development and testing, and other fundamental premises upon which AID has based its evaluation system/approach. Training courses must provide these pre-requisites rather than presume them.
 - suggested that there would be differences in what an intermediate level of the organization and a broad/general level needed to learn about detailed evaluation approaches, i.e., methodologies.

- indicated that "someone" needed to identify what various levels needed to know. The workgroup was not able to specify minimum skills/knowledge, by category of personnel. The Training Office indicated that it needed to be instructed about what people need to know if training is to provide appropriate skills/knowledge. Thus, a gap exists between the conclusions of the workgroup about who should be trained and the Training Office, which needs information on what AID's staff needs to learn. The Training Office cannot fill this gap by itself.
- o The issue of "tests" was discussed, and it was noted that the Training Office already uses tests, e.g., in the PDE course.
- o It was noted that evaluation is a topic in many AID courses -- not just the PDE. Whatever changes AID makes in the system for evaluation need to be reflected in all the courses that deal with evaluation, e.g., the DSP program, the IDI program, etc.
- o The fact that AID provides evaluation training to non-AID staff was discussed, with the following conclusions:
 - the priority on ensuring that AID staff are training should be increased;
 - more overseas training should be considered as a means of reaching AID staff;
 - non-AID staff might well be charged for the course -- to increase the funds available to training, discourage attendance by those who do not really need the course, etc.
- o In general it was felt that training would be improved by the use of "real examples" --- the application of evaluation concepts to the real constraints and types of projects AID deals with.
- o Discussions of making evaluation training mandatory led to the conclusion that the focus should be on making it available and more useful -- a focus on rules was not expected to accomplish much.
- o Participation in evaluations was viewed positively as a "training device"; the experience of PPC/E/S has indicated that participation in the impact evaluations has positive skill and attitude effects on AID staff.

ACTION ASSIGNMENTS:

1. Somebody, or a small group, needs to define what skills/knowledge AID staff, in three personnel categories listed above, require.
2. The Office of Training, working with the workgroup, needs to redefine course objectives re evaluation based on this skills/knowledge list, and adjust training to meet those objectives. All courses that deal with evaluation must be considered, not just PDE.

Recommendations 11, 12 and 1: Supporting Actions

The work group did not treat the recommendation for leadership support of evaluation changes, and the removal/reduction of constraints, at a detailed level. They did indicate that:

- The support of top management for a effective evaluations system continues to be an important factor in implementing evaluation system requirements, improving the quality of evaluations, etc.
- It will be important to have the new Agency Administrator reiterate prior support for AID evaluation efforts and to take such supportive actions as reviewing/hearing oral presentations on impact studies, raising questions internally about the utilization of evaluation findings, requiring evaluative information before approving those projects that require the Administrator's approval, etc.

With respect to Agency guidance, it was felt that the implementation of Evaluation Task Force recommendations would proceed quickly enough to allow changes to be made in Handbook 3 by the time of its final publication in the spring of 1982, and in such other documents as provide guidance on evaluation.

ACTION ASSIGNMENTS:

1. PPC/E should seek the support of the new Administrator for the Agency's evaluation efforts, including the changes recommended by the Evaluation Task Force. It should continue to keep the Administrator informed of impact studies and if possible continue the practice of orally presenting this work. Broadening of this practice to include bureau initiated evaluations should be examined.
2. Somebody or a subgroup or a unit should take on the task of defining what general Agency guidance will need to be changed, Handbook 3 plus what? -- and later in the year, some unit or group will need to draft those changes that appear to be necessary based on the Evaluation Task Force recommendations and their implementation.

memorandum

DATE: July 27, 1981

REPLY TO
ATTN OF: PPC/E/PES, Molly Hageboeck

SUBJECT: Interim Report from the "Small Groups"

TO: Evaluation Task Force Implementation Work Group
(SEE DISTRIBUTION BELOW)

Attached you will find a copy of an interim report from the "small groups". All but one group has submitted draft ideas for your consideration. During August both the DS/DIU "small group" and the training "small group" will be taking further steps in their work. A supplement that contains these additional products will be forwarded to you later this month.

As you review these materials it would be helpful if you reviewed them from two perspectives. First from the perspective of the "small group" in which you participated. Now that you can see where the other "small groups" are coming out are there things you and your colleagues wish to modify/expand in your "small group" report? If there are you may want to get together and make some changes. Any changes you wish to have circulated can be sent to the full Work Group with the supplement package later this month.

The second review would be one that takes a wider perspective. This review should capture your ideas concerning the overall direction we are taking. In early September, we'll call a meeting of the full Work Group. We should use that first fall session to make decisions about those items that do not seem to us to be resolved.

If you are taking a vacation this month or just relaxing a bit here, we hope you'll enjoy knowing that we won't pester you unduly till after Labor Day!

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