

PDU 09/71

Qualification
497-0340

list of studies p.13

CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE Development Studies Project	2. PROJECT NUMBER 497-0340	3. MISSION/AID/W OFFICE Office of Director
	4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) <u>FY85-01</u>	
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION		

5. KEY PROJECT IMPLEMENTATION DATES			6. ESTIMATED PROJECT FUNDING		7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Equivalent FY <u>83</u>	B. Final Obligation Expected FY <u>85</u>	C. Final Input Delivery FY <u>87</u>	A. Total	\$ <u>4,000,000</u>	From (month/yr.)	<u>06/29/83</u>
			B. U.S.	\$ <u>3,000,000</u>	To (month/yr.)	<u>04/28/85</u>
					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., Memorandum, SPAR, PIO, which will present detailed request.)	E. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
<u>Decisions:</u>		
1. To strengthen the Working and Steering Committee in terms of staff assignment and commitment.	Muchtaruddin Siregar, SC Chairman, and Marzuki Usman, SC Secretary	July 1985
2. To establish new DSP Secretariat at Bappenas (the GOI National Planning Board).	- " -	July 1985
3. To prepare the Project Paper Amendment to DSP	DSP/PRO	May 1985
4. To provide an additional \$ 1 million in grant funds and extend PACD for one year to 6/30/88 as component of Grant Agreement amendment.	PRO & RLA	June 1985

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS			10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT	
<input checked="" type="checkbox"/> Project Paper	<input checked="" type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify)	A.	<input type="checkbox"/> Continue Project Without Change
<input checked="" type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____	B.	<input type="checkbox"/> Change Project Design and/or
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify)		<input checked="" type="checkbox"/> Change Implementation Plan
<input checked="" type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____	C.	<input type="checkbox"/> Discontinue Project

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Name and Title)		12. Mission/AID/W Office Director Approval	
Martin Sirait, Project Officer		Signature	
<i>Martin Sirait</i>		<i>William P. Fuller</i>	
June 12, 1985		TVS: Name William P. Fuller	
		Date 9/4/85	

13. Summary

This project supports the Government of Indonesia (GOI), Indonesian foundations, universities, and other private institutions to strengthen research and analysis of selected policy issues in Indonesian development. Technical and financial support is provided to organizations concerned with policy studies which can be translated into specific recommendations and thus assist the Government's decision making process.

Funds will be committed based on proposal(s) or sub-project(s) approved by the Steering Committee. To date, four sub-projects totalling \$225,587 have been completed; eleven sub-projects amounting to \$1,281,000 have been approved and are being implemented; they are: 1) Seminar on "Man & Society in the Year 2000"; 2) Research on "Socio-Cultural Influences on Food Habits and Food Consumption Patterns in the Family with Preschool Children"; 3) Research on Technology and Employment Opportunities in Food Production; 4) Technical Assistance in Developing DSP Sub-project Proposals; 5) National Seminar on Job and Business Opportunity in Rural Areas; 6) Cooperative Rural Perishable Commodity Marketing Systems Study; 7) Analysis of External Resource Utilization; 8) Development of Nutrition Assessment and Monitoring Activities for the Food and Nutrition Surveillance; 9) Policy Analysis and Dissemination of Information from the National Panel of Farmers Research Program; 10) Study for the Development of Infrastructure Pricing Policy; and 11) Studies and Development of Gasification in Rural Development. It is projected that the project will achieve its goal. There have been no major problems encountered to date.

14. Evaluation Methodology

The planned evaluation comes shortly after the first year of project implementation and is intended to assess the appropriateness of existing implementation procedures and their contribution to progress towards the achievement of project objectives. Focus of the evaluation was on the implementation dynamics with specific attention to the issues outlined below:

a. Information Dissemination

A specific objective of DSP is to broaden participation in policy discussions. A first step to achieve this objective is to inform a wide array of organizations about DSP and its policy analysis activities. One area to be examined in the evaluation is the information dissemination system.

b. Proposal Development

Collaborative research involving policy-makers and policy analysts is a central component of the project strategy. Improved policy formulation is the main objective of this strategy. It was premature to attempt to determine the impact

of DSP on policies formulation but it was felt to be important to determine if existing implementation procedures do promote collaborative research and that the collaboration results in research proposals are responsive to the needs of policy-makers and meet the standards of high quality policy analysis.

c. Selection Procedures

DSP funds a broad range of activities, including studies, seminars, publications and experiments on a variety of policy topics. Selection and approval of these activities is the primary function of the Steering Committee supported by USAID's DSP Committee. General criteria for sub-project selection have been established. Application of these criteria and their appropriate were reviewed at this time.

d. Approval Procedures

A major constraint to bridging the gap between policy analysis and policy formulation is providing sound policy analysis on a timely basis. Simplified approval procedures have been established for DSP to facilitate timely analysis. These procedures were reviewed for efficacy.

e. Monitoring Evaluation

DSP is a new initiative in GOI/USAID collaboration. Information on project performance is particularly important to identify major implementation obstacles and to record project impacts. A simple monitoring system is in place and discussions on how best to evaluate project results have occurred. A review of the existing monitoring procedures and proposed evaluation efforts was also addressed.

15. External Factors

To date external factors have had no significant impact on the projects; GOI priorities remain the same as stated in Pelita IV and all assumptions as stated in the project design remain valid.

16. Inputs

The primary inputs provided by this project were technical assistance with commodities being provided if necessary to carry out studies/or experiments. To date the project has not faced any difficulties or problems in getting needed technical assistance. The type of inputs in the future will remain similar and the additional \$ 1 million as proposed in the face sheet of this PES is to respond to the growing policy studies requests from various GOI agencies.

17. Outputs

As stated in the Project Paper the outputs of this project are:

1. Completed studies on development topics.
2. Identification of new and implementable approaches to development problems, and
3. Strengthened environment for consumed Indonesian (and bilateral) policy discussions. The indicators to measure the outputs are: completed seminars, studies, and small experiments that help policy makers to strengthen development decisions.

With the exception of two feasibility and design studies to date, the only major activity which has been concluded, is support for the development of the Open University. The impact of project support for this endeavor has been considerable. A draft Master Plan has been produced, recommending policies concerning admissions criteria and procedures, curriculum development strategies, resource allocation priorities and mechanisms, and examination and evaluation procedures. The Open University was opened on September 4, 1984, and has enrolled 57,000 students in the first year alone. This high-priority program will offer new opportunities for those who would otherwise have been denied a university education. Flexible, timely and carefully targeted AID support, amounting to less than \$200,000, has provided key assistance for this major educational innovation. All of the other projects that are under implementation are proceeding according to schedule and within their budgets to this point in time.

18. Purpose

The purposes of this project are three fold:

1. To strengthen Indonesian policy formulation by improving the analysis of development issues, and consequently decision making and implementation by Indonesian institutions.
2. To enhance the acceptability of analysis as an instrument of policy making and
3. To encourage greater involvement of private, research institutions with public ones.

USAID and GOI share a common perception of the purpose of DSP and agree upon the importance of policy studies. The GOI priority is to enable the various agencies to translate the broad policy formulation as stipulated in the fourth 5 Year Plan (Pelita IV) into a more viable and operational sectoral policy and consequently achieve the national development objectives. It is still too early in the project to examine the effects on the purpose.

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19. Goal/Sub-goal

The goal of this project is to assist Indonesian in making more productive use of resources (public, private and donor). The proposals currently being implemented demonstrate the wide range of policy issues which are being examined with the support of this project. They vary from a high-level seminar on "Man and Society in Indonesia in the Year-2000" to assistance with the formulation of policies for the establishment of an Open University in September, 1984. Government nutrition and health care interventions will draw on project-supported work to assess the status of malnutrition in 12 provinces and to examine socio-cultural influence on food habits and food consumption. Policy options for generating off-farm employment will be examined in a project-supported study of technology and employment in food production.

20. Beneficiaries

The project's major thrust is to encourage policy dialogues and policy research among Indonesian and by Indonesian institutions. More and more decision makers at various levels in the government has benefited/or will benefit in the long run, not only in enabling them to formulate policy research but also to monitor policy implementation. To date all member of the DSP Working Team and Steering committee have gained direct benefit from the process of day to day dialogues among members and with officials for various sectoral ministries and vice versa.

21. Unplanned Effects

The project has not experience any unexpected events which might have had a negative impact upon the social structure, environment, health, or economic situation of the country.

22. Lessons Learned

Not pertinent at this time.

23. Special Comments

Since this first year evaluation is at the early stage of the project not many of the activities are completed. The evaluation has pointed to a need to modify project management as the project enters its second phase and this will be carried out.

DEVELOPMENT STUDIES PROJECT
(DSP)

FIRST YEAR EVALUATION

By

Manasse Malo, Ph.D

Jakarta, May 1985

Submitted to :

1. GOI Steering Committee
2. USAID DSP Committee

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I. INTRODUCTION

The primary objective of DSP include first, improving analysis of development problems and issues specifically defined in Repelita IV to serve as basis for policy formulation by the Government of Indonesia. Second, providing means for broader participation in policy discussions to ensure active engagement of all parties concerned with policy formulations. Third, improving timely and empirically based policy analysis and formulation.

In order to achieve these objectives DSP management procedures for administering incoming proposals are established. Evaluation of these management procedures currently conducted is to determine whether it is functioning supportively and is contributing toward the achievement of these objectives. Specific recommendations for improvement of DSP management procedures drawn from the evaluation findings are to be presented here.

1. POLICY RESEARCH

Policy research funding in Indonesia can be obtained from different resources such as :

- a. State's Expenditure and Income Budget as specified in Project Budget Statement (PBS). PBS allocations are provided for each Government Department undertaking research related to development issues. The Centre for Research and Development (Centre) attached to each Department carries the main responsibility of coordinating research proposals planning and of submitting them to the National Development Planning Board (NDPB). Depending on the negotiations

between NDPB and the Centre decisions are taken as to which of the research proposals are to be funded by PBS source.

Research proposals conceived by the Department's Centre for Research and Development are determined by guidelines and instructions defined in the Five Year Plan. However, the presented proposals are of different quality. Departments employing competent research personnel are capable of formulating development problems accurately and of conceiving a qualified research proposals. On the other hand, quite a few Department do not have the ability of conceiving a qualified policy research proposal due to the limited expertise of their research staff.

In terms of the level of this ability, different ways of handling policy research are identified. One method utilized is to conduct all research projects by the Centre's own research personnel. It includes the entire research process involving activities of conceiving research designs, constructing research instruments and collecting data. This way of handling research proves to be inefficient when utilized by Department lacking competent research workers. It is noted that some Department engage the assistance of University teaching staff by including them in the research team. However, their help is actually of little substance because of the decisive role performed and maintained by the Centre's own research staff throughout the entire research process.

Another method being exercised is by negotiating with a University or Private Research Agency to conduct the research project on a contractual basis. This method is usually employed either for reasons

of lacking available expertise to perform research or the available expertise at the Centre is not compatible with the research topics to be exercised. Using this method, however, may help increase the absorption capacity of the Centre's allocated research funds. Because of the contractual nature less time is needed by the researchers to accomplish the research since they are obligated to finish within the time limit agreed upon. Moreover, research conducted on a contractual basis can be of better quality due to efforts of maintaining credibility toward the employers by the researchers.

- b. Private funds which include Foundations such as the Ford Foundation, Toyota Foundation or the Volkswagen Foundation. In this case the procedures of administering funds are fully determined by the funding agency including selection acceptance or evaluation procedures.
- c. Foreign loan obtained for example from the World Bank. Being a loan the Government of Indonesia determines the procedures to be followed in conducting research. It is noted however, that donor agencies are also involved in sharing ideas and providing guidance.
- d. DSP funds as being US Government grants donated to the Government of Indonesia. It is primarily intended for funding research proposals relating to concrete societal problems to be solved for the purpose of timely and empirically based policy formulation. Prominent policy makers from public and private sector as well in collaboration with policy analysts are encouraged to identify policy problems to be developed into research proposals for which funding can be obtained from DSP.

According to existing official documents DSP administration is to be managed by a joint committee involving Government of Indonesia and USAID with the assistance of a Working Team. The responsibility of the Working Team includes accepting, processing and selecting incoming research proposals. The findings of the Team are forwarded to the Steering Committee for their final decision either to approve or reject the proposals.

Yet, current practice of DSP management indicates the existence of 2 Committees functioning separately :

- Government of Indonesia Steering Committee consisting of 6 members including 1 from National Development Planning Board, 4 from Department of Finance and 1 from the Cabinet Secretariat. This Steering Committee is assisted by a Working Team consisting of 11 members including 1 from NDPB, 8 from Department of Finance, 1 from the Cabinet Secretariat and the Secretary of the Steering Committee acting as the Chairman of the Working Team. This arrangement helps accelerate working relationship between both groups. In addition, Drs. Martin Sirait being a member of the Working Team and a DSP Project Officer of USAID is regularly invited for attending all meetings of the Steering Committee.
- USAID Committee consisting of 13 members, each of them being involved in one specific project such as agriculture, population or education.

Basically, both Committee have a common task such as selecting and approving incoming research proposals. This arrangement can be considered a helpful element for enhancing the selection process.

Yet, if management principles are to be applied, questions may be raised as to the nature of control and appropriation of DSP funds. Is it jointly administered by Government of Indonesia and USAID or is Government of Indonesia fully authorized for exercising the administration? As a US Government grant it is assumed that DSP funds should come automatically under the authority of Government of Indonesia and as such Government of Indonesia should be fully responsible for it's administration.

2. ENHANCING DIALOGUE ABOUT POLICY FORMULATION

An essential factor in policy research is the existence of a continuing dialogue between policymakers and policy analysts. Research of concrete societal problems can produce high quality research outcome, yet it does not ensure implementation by policy makers performing their task. On the contrary, it is possible that research findings of which validity is questionable are implemented by policy makers in formulating policies. The reason for this is twofold. Policy makers usually do not possess enough information about high quality research and the state of relationship between policy makers and researchers is usually not smooth or ineffective.

Emphasis on dialogue is not something new in Indonesia. The awareness of it's importance is manifested among others in the arrangement of public administration where each Department has it's own Research Centre. Furthermore, State as well as Private Universities are conducting policy research. However, an effective dialogue has not been achieved as yet due to communication problems between the

units. Implementation of the Centre's research findings by the Department's Directorates is not definite. Besides, occurrences of Directorates performing their own research frequently overlapping research topics conducted by it's own Centre is often noted.

Research utilizing DSP funds are geared toward increasing dialogue throughout the entire research process starting at the level of developing the research problem. Policymakers are expected to identify concrete development problems to be developed later on into good research proposals by competent researchers from public and private agencies. On the other hand, researchers might have a precise idea in mind for policy formulation which can be developed jointly with intended users. The requirement of research proposals being undersigned by first echelon government official serves for ensuring this dialogue.

Efforts of developing dialogue continuously throughout the research process should be sustained for example by initiating discussions or seminars about the research proposals, the instruments to be utilized, the quarterly research reports or the research outcome. Thus, researchers recommendations on policy problem solving drawn from research findings shall not be as surprising for the users due to their involvement throughout the research process.

Enhancing dialogue also means improving research quality.

Research idea and it's development is the integration of the more theoretically oriented researcher's thinking and the more practically oriented user's thinking.

3. TIMELY AND EMPIRICALLY BASED ANALYSIS

Another important factor of DSP's concern as defined in one of its objectives is timely and empirically based policy analysis. This involves that recommendations for solving development problems is presented within a fixed length of time in order to achieve maximum effect and that such recommendations be drawn from findings based on empirical data analysis.

Quite a few policy research findings proved to be unapplicable for reasons of being untimely or because its analysis is not based on societal realities. As causative factors of this condition could be mentioned the indefinite understanding of timely policy analysis or of research management or the management of research granting agency.

DSP as research grants provider attempts to cope with this problem by establishing policies that enable achievement of the above-mentioned objectives.

One of the selection criteria defined for conducting one project is a maximum time limit of 18 months duration. NDPB and Department of Finance members of the Committee who possess the latest information on current policy research still being conducted or having been completed play an important role in evaluating a proposal. Thus, the aspect of timely analysis can be ensured. Furthermore, DSP encourages conducting research of experimental design such as action research or other social experiments. The usefulness of the outcome of such research is tested by concrete data collected from the field.

4. MANAGEMENT MECHANISMS

In order to achieve the three objectives mentioned earlier DSP attention is focussed on adaptable management mechanisms. In relation to other funding resources for policy research, these mechanisms are geared toward enabling DSP to provide a better service. The mechanisms involved are :

a. Dissemination of information

Exercising dialogue on policy matters are enable by disseminating information about subprojects as widely as possible. The means (for this purpose) which can be utilized are written documents, seminars or other communications media.

b. Flexibility

Flexibility can be ensured by defining implementation procedures as clearly and simple as possible. Instructions about management prosedures should be determined to be used as guidelines for evaluating sub-project proposals.

DSP service is not limited to research proposals relating to specific development sector. Research proposals related to policy of the entire development sector can be submitted for obtaining DSP funds.

As such there is no limitation about the kind of agencies submitting research proposals. Higher education and non-Higher Education Institutions, Governmental and Non-Governmental Agencies as well can apply for obtaining DSP funds to conduct policy research, but only if the research proposal is recomen

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least a first echelon government official.

The kinds of activities funded by DSP is also not limited to one specific activity. Beside research activity, it is possible to conduct seminar or issue publications or perform short-term education. Including in research are survey research and social experimental research. Yet, all these activities should be related to policy, it's findings should not be outdated and should serve to enhance dialogue between researchers and users.

A noted difference with other funding resources is that DSP does not determine a fixed time for submitting research proposals. Sub-project proposals can be submitted to the Committee for their consideration any time during the calendar or budget year.

This aspect of management flexibility is compatible with the nature of scientific research when researchers are bound to make methodological decisions throughout the research process. A research process involves many phases in which a researcher has to make alternative decisions about methods being employed. These are not random decisions but decisions based on systematic scientific reasoning. A rigid management procedure will complicate it's accomplishment.

c. Speed

Maintaining flexibility does not mean delay of research performance. Speed is another attribute of DSP management mechanism. For example, the time needed for approving research proposal or for issuing Project Implementation Letter (PIL) is being sped up. As such, timely policy analysis is ensured.

d. Quality

Careful consideration of producing good and quality analysis is another attribute being focussed upon in DSP management procedures. Many conducted policy research underestimate or place less emphasis on this matter. Quality is measured against the theoretical framework utilized in arguing policy research topics and the methodological framework employed in planning, collecting and analysing data. Quality checking activity is exercised when research proposal, quarterly research report and final research report are submitted. General criteria for selecting research proposals have been defined as guidelines to be used by Committee members in considering incoming proposals. But criteria for evaluating quarterly reports and final report is not available as yet.

5. BUDGET

DSP budget amounts to US \$ 4,000,000.00 projected over the years 1983, 1984 and 1985. Of this, Government of Indonesia provides a total of US \$ 1,000,000.00 and US grants a total US \$ 3,000,000.00. For detailed information of this budget is referred to Supplement 3.

The total expenses for completed sub-projects amounts to US \$ 225,587.80 of which most is absorbed by the study of Open University reaching a total of US \$ 195,934.00. The 11 sub-project under implementation are budgeted at US \$ 1,328,504.00. Thus, only 38.8 % of the available funds has been absorbed including 5.6 % by completed sub-projects and 33.2 % by sub-projects under implementation.

II. STATUS

A. ADMINISTRATION OF PROJECT

Sub-project proposals are received from governmental and private agencies. But each is to be undersigned by at least first echelon government official for example the secretary general or director general and in case of private agency the head or director. After having been examined by the Steering Committee and the USAID Committee decision is made to approve or reject the proposal.

For reviewing purposes two procedures are utilized presently. First, preceding recommendation to the Working Team the USAID Committee reviews all proposals. From this review some sub-project can be approved in principle. These are furtherly examined by the Working Team and their findings are recommended to the Steering Committee. Proposers can be involved in the discussion meetings held by the Working Team focussing particularly on those aspects not clearly stated. The Steering Committee has the authority to pronounce final sanction of approval or rejection regarding all proposals.

Second, review of sub-project proposals are conducted simultaneously by the Steering Committee and the USAID Committee. This procedure is possible since copies of the research proposal are also submitted to the USAID. The presence of Drs. Martin Sirait in every meeting held separately by both Committees serves in exchanging their findings.

The report on the status of sub-projects issued by the USAID Committee indicates that present practice of reviewing the proposals

includes 6 phases sequentially related. These are: receipt of incoming proposals, USAID Committee's approval in principle, Steering Committee's approval in principle, USAID Committee's final approval, Steering Committee's final approval. The last phase includes the issuance of Project Implementation Letter (PIL). This sequence is not entirely applied to sub-projects which have been approved and are presently being conducted.

B. DESCRIPTION OF SUB-PROJECTS

Until January 1985, 71 proposals have been received. Of these, 47 have been rejected, 13 approved and 12 under consideration. Of those approved proposals 4 research have been completed. Each of the above-mentioned category will be discussed hereafter.

1. Sub-projects completed.

Of the completed sub-project research, one referring to the Open University is submitted by the Directorate General of Higher Education, Department of Education and Culture. Three other sub-projects pertaining to technical assistance viz. to develop research proposals on malnutrition status in Indonesia and to develop research proposal on analysis of external resources utilization at NDPB. To determine the approval of sub-project proposal which has been developed related to malnutrition status, a technical assistance has been provided. Research of NDPB external resources is still being conducted. It's title is focussed upon "Improvement and Computerization of Management Information System at the Foreign Economic Relations Bureau of NDPB".

Study of the Open University planned to commence in the academic year of 1984/1985 is a feasibility study. Like the technical

assistance for the nutrition sub-project proposal, this study was conducted by a foreign expert. Study of the Open University was performed by the Vice Chancellor of the Open University of the United Kingdom and the Academy for Educational Development Inc., while another expert from Cornell University conducted the study of assistance for the research proposal on malnutrition status.

The time needed to accomplish these sub-projects is relatively short. Assistance for developing the proposal on malnutrition and external aid for NDPB needed one month and the study of the Open University lasted approximately 7 months.

2. Approved sub-projects under implementation

Ten Sub-projects are still being conducted. Of these, 2 are seminars, 1 refers to institutional development and the rest consisting of policy research. These sub-projects are being undertaken by Universities and Government Departments (see table 2). The specification is as follows : NDPB, Department of Cooperatives, Department of Health and Universities respectively 2 sub-projects, Department of Agriculture, and the State Minister's Office for Population and Environmental Affairs respectively one sub-project.

Examination of their content indicates the following classification :

a. Five Sub-projects are related to agricultural problem to be specified into :

- one relating to manufacturing of gas as an alternative and inexpensive energy for agricultural development. Existing rural

resources such as wood can be utilized for this purpose.

- one being a seminar aimed at mapping out main issues of manpower and opportunities in rural areas.
- one pertaining to research of new technology utilization for food production and the related employment opportunities.

Hypotheses formulated include for example, that a remarkable shift exists in the utilization pattern of new technology mentioned earlier and that different patterns of acceptance toward new technology exists among the farmers. Data is draw from the 1976 through 1981 Agricultural Survey available at Central Bureau of Statistics.

- one referring to examining and measuring parameters related to production, income and employment opportunities in the agricultural sector. This is a follow-up study of the one financed by the Department of Agriculture using PBS resource.
- one concerning study of storing and marketing system of perishable agricultural commodities. As responsible agency for storing this commodity is the Cold Storage Cooperatives. Included in this study is the affect of co-operatives on the improvement of farmers income.

b. Two sub-projects relating to studies of nutritional problems are being undertaken by the Centre for Research and Development of Nutrition, Department of Health. One is a study of the social and cultural influence on family food consumption. As dependent variables, eating habits and food consumption patterns are measured

by examining the expenditures for food, methods of food preparation and the amount of food consumption. Parents attitude towards different kind of food, the prohibitions and it's effect on child nutrition are also being examined. Social, cultural, economic and demographic factors affecting consumption patterns and eating habits are identified as independent variables.

The other sub-project is aimed at uncovering the status of malnutrition among pre-school children in Indonesia. For this purpose, a method for measuring is being established and tested. Data used is draw from the National Social and Economic Survey as well as data from monitoring child nutritional status in rural areas.

- c. One sub-project concerning study of man and society in the year 2000 takes the form of seminar about topics indirectly related to IVth Five Year Plan policies.
- d. One relating to installation of management information system. It is to computerize the management information system of the Foreign Economic Relations Bureau at NDPB and consists of such activities as the installation of hardware and software computers and provision and training of manpower for it's proper performance. As such, this sub-project can be characterized as institutional development.

In terms of research methodology applied, a variety of techniques are identified.

- a. one study referring to problems of gassification used experimental technique.

- b. one pertaining to research of Co-operative Rural Perishable Commodities employed action research.
- c. 4 Sub-projects used different techniques of survey. Both studies of nutrition used survey applying inductive approach involving a small sample. Based on the findings of this small sample a larger sample is selected covering a larger area. The study of price policy employed statistical data drawn from the Central Bureau of Statistics for the purpose of stratified sampling of villages.
- d. one is secondary analysis of available data, viz. the sub-project concerning technology and employment opportunities in the food production sector. Data used for analysis is taken from the Annual Agricultural Survey available at CBS.
- e. two sub-projects are seminars and one is the computer installation for management information system.

3. Sub-Projects under consideration

Until mid February 1985 the basic ideas of 12 sub-projects have been approved with additional requirements of revising and developing their designs.

These sub-project proposals are submitted by 9 government agencies (see Table 2). Two proposals come from the State Minister's Office for Population and Environmental Affairs and 3 from Universities. The rest are submitted by the Departments of Finance, Education and Culture, Agriculture, Trade, Co-operatives and Justice respectively one sub-project, and the last one is from the private sector for which

funding agency is still being sought.

In terms of their content, it is noted that 5 sub-projects pertain to agricultural problems including the Rural Co-operative Units, 2 relate to population problems, 2 to macro national development problems, one concerns investment laws, one relates to economic problems (Discount Agency) and the last one refers to cognitive development of Indonesian children.

Variations of research methodology applied is identifiable :

- a. 2 sub-projects pertaining to Rural Co-operative Units and Discount Agency used seminar.
- b. one referring to Industrial Pollution Control applied action research.
- c. one referring to study of tapioca and palm-oil factory garbage dumping system is a study tour.
- d. the other 8 sub-projects use survey technique.

4. Rejected Sub-Project

Included in this category are sub-projects declared unacceptable after reviewing the proposals and those which were withdrawn by the proposers. This serves for explaining the fact that of those 47 rejected proposals only 25 titles of proposals are listed and 18 proposals are documented.

Classification of those 25 rejected proposals according to their content is as follows :

- a. 4 sub-projects relating to manpower problems listed under nos. 010, 047 and 056.

- b. 3 sub-projects referring to transmigration problems listed under nos. 048, 028 and 051
- c. 3 sub-projects concerning gassification listed under nos. 026, 043 and 044
- d. 4 sub-projects relating to social welfare including Family Welfare and Health Services listed under nos. 013, 015, 054 and 033.
- e. 3 sub-projects pertaining to village economy listed under nos. 025, 061 and 060
- f. 3 sub-projects concerning institutional development listed under nos. 046, 09 and 058
- g. 2 sub-projects relating to macro development study listed under nos. 052 and 062

Table 1

LENGTH OF TIME NEEDED FOR
COMPLETION OF STUDIES
(Completed Sub-Projects)

Title	Length of time between PIL and the commence of study	Length of time between commencing and completing studies
1. Status of malnutrition (Technical Assistance)	1)	30 days
2. Study of Planning Open University	2)	7 months
3. Analysis of External Resources Utilization for NDPB	62 days	40 days
4. Determining acceptance of research proposal on Malnutrition Status (Technical Assistance)	---	---

Notes :

- 1) This study started 1½ months prior to the issuance of PIL
- 2) This study started 2 months prior to the issuance of PIL

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III. EVALUATION FINDINGS

This evaluation was conducted according to the requirements as stipulated in the Project Grant Agreement, that the first evaluation be performed 12 months after commencement of the project. Moreover, the US Government intends to provide additional grant for this project.

It is premature to do an evaluation on many aspects of this project such as to attempt to determine the impact of DSP on policies formulation or to assess the quality of quarterly reports. However, it is important at this time to determine if existing implementation procedures do promote collaborative research and that this collaboration results in research proposals responsive to the needs of policy makers and meets the standards of high quality policy analysis.

The focus of this evaluation is on the sub-project implementation dynamics giving specific attention to aspects of information dissemination, flexibility, speed and quality. Based on collected information relating to sub-project proposal development and selection, approval giving, monitoring and sub-project evaluation procedures, these four areas will be discussed.

Two major data resources have been used for discussion. First resource includes DSP documented materials viz. Project Grant Agreement, research proposals, quarterly report and final report. Second resource includes interview results with 8 USAID Committee members, 6 Steering Committee and Working Team members and 5 sub-project proposers.

1. INFORMATION DISSEMINATION

If information is disseminated widely policy dialogue among other things can be brought about. Viewing the present DSP management structure however, this is not realizable because information dissemination system is non-existent. Announcement of this project is made only once through an official letter from the National Development Planning Board addressed to government departments. It is not surprising if quite a number of governmental and non-governmental agencies are not aware of the existence of this project. Generally informal means are used as information source. DSP sub-project researchers who were interviewed stated that Steering Committee members are their sole information source. Efforts for broadening participation through policy dialogue will be obstructed because of the limited information dissemination system.

This situation, however, is related to the opinion of several Committee members who desire limited dissemination. The reason often mentioned is the limited number of Committee members available for selecting quite a lot of proposals, if information be disseminated widely.

Other Committee members and sub-project researchers who were interviewed agree on a more open information dissemination. The problem of expertise shortage for evaluating a large number of proposals can be dealt with by inviting domestic consultants on an ad-hoc basis. Funding consultative services can be obtained from sub-project no. 045 specifically provided for this purpose.

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It is also interesting to note that no provision is made of DSP folders in the Indonesian language. Likewise, all sub-project proposals and other reports related to DSP are presented only in English.

2. FLEXIBILITY

Management procedures related to selection of research proposals have been specified as follows :

- a. The proposals is directly related to the goals of the Fourth Five Year Plan.
- b. The proposal is recommended by a GOI agency.
- c. Topics will contribute to policy and program analysis and will provide opportunities for addressing timely issues.
- d. Studies are consistent with the project objectives and are not duplicating other projects.

These criteria are not rigid. Actually, the first and third can be considered too general. Without further clarification, the goals of the Fourth Five Year Plan have the provision of encompassing a large and general area that almost any research topic can be approved. Likewise, there is no common understanding about the criteria of timely issues. Some Committee members are questioning the timeliness of topics to be discussed at the seminar on "Man and Society in the year 2000". Is there a direct relationship between the seminar discussion and the IVth Five Year Plan goals?

Procedures related to monitoring and evaluation have been established by stipulating that proposers are obligated to submit quarterly and final reports. But to many project implementors who were interviewed the format of reports has yet to be clarified.

Proposers of sub-project proposals which have been submitted to DSP Committee come from various agencies (Table 2). Fifteen Agencies have submitted 49 proposals of which 7 agencies are still conducting approved sub-projects. Nevertheless it should be noted that the private sector and Universities' involvement is very minimal, each of them having submitted respectively 9 % and 19 % of the total incoming proposals.

Research proposals content is not limited to one particular area. This problem has been discussed in the preceding chapter (for comparison, see Supplement 2).

Receiving incoming proposals by DSP Committee is not limited to any particular date or month. The sub-project status report (Supplement 2) indicated that in 1984 sub-project proposals to DSP Committee are submitted every month.

In short, flexibility in DSP management is quite apparent. Moreover, it can be stated that DSP management is far more flexible than other AID projects or other funding agencies.

Yet, selection and evaluation criteria are still far too general. This has been one of the reason why those criteria have not been applied consistently by committee members when selecting sub-project proposals.

Table 2

SPECIFICATION OF INCOMING PROPOSALS /
SUB-PROJECTS BASED ON PROPOSER AGENCY

	Approved in Principle	Sub-Projects Being Implemented	Sub- Projects Completed	Proposals Rejected	Total
1. Dept. of Internal Affairs	-	-	-	2	2
2. Dept. of Finance	1	-	-	2	3
3. Dept. of Educ. & Culture	1	-	1	1	3
4. NDPB (BAPPENAS)	-	2	-	3	5
5. Dept. of Agriculture	1	1	-	2	4
6. Dept. of Trade	1	-	-	3	4
7. Pop. & Environmental Affairs	2	1	-	-	3
8. Dept. of Co-Operative	1	2	-	1	4
9. Dept. of Health	-	2	1	-	3
10. Dept. of Justice	1	-	-	-	1
11. University	3	2	-	4	9
12. Private Agencies	1	-	-	3	4
13. Dept. of Transmigration	-	-	-	2	2
14. Domestic Production Affairs	-	-	-	1	1
15. Dept. of Labour	-	-	-	1	1
T O T A L	12	10	2	25	49

Notes : 22 proposals rejected are not included in this table,
since those proposals were discontinued.

Another problem is the differences of opinion among members that become more apparent when selecting incoming proposals. This point has been touched in the preceding chapter. The Gassification project is another example to illustrate this point. Two proposals about this topic were rejected in July 1984: the sub-project no. 026 entitled "Demonstration Project: Producer Gassification for Rural Energy" proposed by the Department of Co-operatives and the sub-project no. 043 entitled "Application of Wood Gassification Technology for multipurpose Use" proposed by PT Dharma Sadhana Yukti, Bandung. But later in August 1984 another proposal of the same topic entitled "Studies and Development of Gassification in Rural Development" proposed by Department of Cooperatives was approved by the Committee.

This difference of opinion is again appeared in the discussions about the scope of the sub-projects. The issue is whether sub-projects should be related to research or to institutional development. Two proposals on "Establishment of Data Bank for Trade Policy" and "Export of Indonesian Labour to the Middle East" were rejected because some members are inclined to consider these proposals as institutional development activity and not as research proposal. Other members are of the opinion that in the context of Indonesian development, the aspect of institutional development is a by-product of research. In other words, there is no firm distinction between research and institutional development. Of the sub-projects currently being undertaken, the sub-project on "Upgrading and Computerizing the Management

Information System at NDPB Bureau of Foreign Economic Cooperation" include institutional development activities.

It is therefore necessary to elaborate the selection criteria. Elaborating this criteria does not mean producing some kind of rigid check-list procedures but a further clarification that will provide guidance for Committee members throughout their meetings. This kind of clarification is a useful tool for minimizing differences of opinion.

Flexible procedures enable the exercise of dialogue. For DSP, this dialogue means policy dialogue involving researchers and policy makers. The procedures currently being employed for proposal development and selection stimulate and facilitate opportunities for this kind of dialogue. In the proposal development phase the Working Team and the USAID Committee have attempted to exercise dialogue with proposers. This kind of dialogue took place several times with the purpose of developing ideas implied in the proposals in order to meet the requirements. Interviewed proposers/researchers are beginning to realize the benefit of this procedure. Moreover, of all sub-project proposals being undertaken, the research ideas were initiated by intended users/policy makers except those conducted by Universities. The sub-project about "Technology and Employment Opportunities in Food Production" conducted by Gajah Mada University has not invited the Department of Agriculture (Research Centre) as one possible user involve in the research process.

The requirement that each proposal should be recommended by a

governmental agency and undersigned by at least a first echelon government official is an effort to carry out policy dialogue. However it should be remembered that this procedure by itself does not ensure involvement of policy decision makers in the research process.

Therefore, in the future additional requirements have to be stipulated so that the sub-project proposals will include plans that ensure continuing dialogue between researchers and policy decision makers throughout the research process. In that way, policy makers will become more accustomed to the ideas in the research therefore absorb these ideas more easily into the policy to be formulated.

3. SPEED

To speed up research process, improvement of present procedures is necessary. Criterium for checking the speed is the length of time between the research duration as proposed and the actual time consumed for completing the research.

It is not yet possible to attempt an analysis of this aspect due to insufficient data. For that matter present analysis examined the length of time that exist from the date the proposals were received, to the date approval was given and to the date of issuing PIL.

The speed of this process depends both on DSP Committee members and the sub-project researchers. Cooperation between these two components is very important for reasons of preventing research findings becoming outdated and of improving policy dialogue.

Examination of completed sub-projects showed that the time

needed to accomplish those studies is approximately 30 days for sub-projects utilizing technical assistance and 7 month for Planning Open University (Table 1). The time needed for completion of these sub-project is relatively short.

For sub-projects under active consideration, the length of time between the date the proposals were received and the 15th of February 1985 is approximately 3 months (Table 3). More time was needed for 2 proposals. After 7 months of deliberation a decision about the study proposal on Discount Institution has not been reached and likewise the study proposal on Village Co-operative Unit after 5½ months.

For sub-projects under implementation this length of time is presented in Table 4. There are a few interesting points here.

a. USAID Committee generally provides quick response to incoming proposals. A slower response is given by the Steering Committee.

Sub-project nos. 042 and 063 were approved by the Steering Committee 2 months after the approval of USAID Committee. While sub-project no. 041 after 5½ months. This situation is related to the time spent by each Committee member for DSP. USAID Committee members are more actively involved; many of the sub-project proposals being developed coincide with the Committee members' field of work. Many sub-project related to nutritional and environmental problems have been submitted because some of the Committee members are working in the same field.

b. The length of time between Steering Committee's final approval and the issuance of PIL is an average of one month.

Sub-project nos. 045 and 041 needed approximately 2 months while sub-

Table 3

DATE BETWEEN PROPOSALS RECEIVED
and FEBRUARY 15, 1985
(for proposals under consideration)

No.	Title	Proposer	Length of time
1.	Industrial Pollution Control	PEA / KLH	99 days
2.	Industrial waste management of tapioca and palm oil	PEA / KLH	99 days
3.	Study of Discount Institutions	Dept. of Finance	205 days
4.	Study of the Increase of Productivity of KUD personnel	Dept. of Coop.	161 days
5.	Study on Potential and Prospects of vegetable oil	Dept. of Trade	90 days
6.	Development of Village Unite Cooperatives to increase income of farmers	Lampung University	88 days
7.	National Seminar about Village Unit Cooperatives	Lampung University	88 days
8.	Agricultural Development Policy and International Trade	Dept. of Agriculture	70 days
9.	Development Strategy in Information age	Private	68 days
10.	Research on Asean Investment Laws	Dept. of Justice	---
11.	The Development of Computer Systems for National Development Programs	University of Indonesia	23 days
12.	Study on Cognitive Development of the Indonesian Children	Dept. Ed. and Cult.	17 days

Table 4

LENGTH OF TIME NEEDED FOR
APPROVAL OF SUB-PROJECTS

(Counting from the Date when Research
Proposals were Received)

No.	USAID Com. Approved	SC Approved in Principle	SC Final Approval	PIL Issued	
01	10 days	35 days	60 days	77 days	
03	11 days	Approved 3 days earlier	12 days	46 days	SC Approved prior to receiving proposal
05	4 days	1 month	1 month	3 months	
045	30 days	0 days	0 days	75 days	
039	60 days	15 days	73 days	75 days	
042	21 days	74 days	74 days	94 days	
040	40 days	0 days	60 days	164 days	
041	96 days	12 days	240 days	285 days	
063	1 days	34 days	67 days	55 days	PIL Issued Prior to SC Approval
029	--	30 days	30 days	161 days	
1057	--	15 days	15 days	--	

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project no. 029 4 month.

- c. Steering Committee gave approval in principle to sub-project no. 03, 3 days before the proposal was received. While for sub-project no.063 PIL was issued prior to final approval by the Steering Committee.

The limited time provided by the Steering Committee members due to their busy work schedule have caused the delay of responses toward incoming proposals. This problematic situation needs to be solved.

On the part of the researchers there are already indications that there will be delay in completing sub-projects nos. 01, 05 and 039. It serves to illustrate the inaccuracy of proposers when planning their sub-projects. Therefore the stipulated time-limit of 18 months could become irrelevant. Yet it is premature to conclude whether the time limit should be extended, shortened or discontinued . There is also the maximum cost limit of US \$ 200,000.00 for one sub-project. No strong reason exists as yet to be presented for policy change regarding these limitations mentioned earlier.

Monitoring and evaluation is another measurement for checking speed procedures. The submission of quarterly reports is included in the stipulations for study implementation, particularly in relation to financing. In reality, quarterly reports are submitted very irregular by researchers. One of the reasons mentioned is that the required format of the report is not yet clear.

4. QUALITY

Another important aspect of DSP is to achieve quality of outcome resulting from extensive dialogue between researchers and users. The procedures enabling this dialogue has been established by the DSP Committees.

In the proposal development phase the Working Team conducts dialogue with proposers to improve the proposal before recommending it to the Steering Committee. The USAID Committee employs the same procedure. Ideas in a proposal are usually accepted if one or more committee members are interested. The member who is in favour of the idea will be assigned to help the proposer develop his proposal. If he has no time, an outside technical assistance can be hired. Of the 3 sub-project completed, 2 reports were the outcome of technical assistance in developing research idea about malnutrition status and analysis of external resources utilization at NDPB.

In the project proposal selection phase the Committee examines whether the proposals are duplications which are funded by other resources. Likewise the Committee seeks information whether the proposals have been rejected in obtaining Project Budget Statements (DIP) allocation. This duplication problem should be specified in order to prevent unnecessary rejection. Two research can examine the same phenomena yet the research models utilized may be different. An illustrative example is the research of Food Habits being conducted by the Nutritional Centre of the Department of Health. The same topic is being studied by the National Institute of Chemistry in Bandung but

using a different model by treating Food Habits as the independent variable. The Nutritional Institute is treating it as the dependent variable.

Research quality is closely related to research methodology employed. The reliability of conclusions drawn from a research and the validity of generalizations depend on the clarity of problems and techniques utilized in the research. In the DSP folder clarification about methodology is mentioned under the heading of "Statement of Work". But it is clarified very briefly with the effect that incoming proposals did not reflect a uniformity in elaborating methodology to be utilized. Some proposals did not even clarify the variables to be examined, other proposals did not specify the type of research to be conducted or the techniques of data collection. Therefore it is necessary that attempts are made to scrutinize research methodological aspects when selecting incoming proposals.

In the evaluation phase submission of quarterly reports, final reports or other writings about the research topic is related to the criteria of quality improvement. There are not enough cases as yet to assess implementation of these procedures. Reports of the 3 completed sub-projects have been received although many Committee members have not yet read it. As to sub-projects under implementation a few quarterly reports have been submitted. But it is difficult to assess the quality of these reports because there is no exact standard to be observed. These reports contain mainly informations about the physical aspect of project implementation. For quality measurement it is necessary to

give attention to discussions about research content.

The problem of incentives or honorarium received could serve as another factor preventing submission of quality reports. Honorarium criteria set for government official as defined by NDPB is disproportionate to the workload of researchers if quality reports are to be produced. This problem became more serious when one compares the honorarium received by a senior domestic researcher of one sub-project with that received by a foreign consultant for the same project.

IV. CONCLUSIONS AND RECOMMENDATIONS

DSP is one alternative of funding resource administered by the Government of Indonesia for financing timely and empirically based policy research. Particularly in the financial administration the GOI Steering Committee is assisted by USAID Committee.

The existing management mechanism has enabled the speeding up of the process. A 3 months duration for approval or rejection of a proposal is quite common. Clearly it is still possible to shorten this time element. This situation is related to the available time provided for DSP by Committee members.

Flexibility is quite apparent in DSP management. There are no limitations set for research proposal content, time element for submission of proposals or the sub-project proposer's agency. However improvement is still needed to elaborate criteria of selection, monitoring and evaluation

Efforts of quality improvement are reflected in the existing procedures. All parties involved in the sub-projects realize the benefits of policy dialogue in sharpening analysis. Still, the existing procedures should be further improved for example by including the Committee's role in giving guidance to proposers about developing and maintaining quality.

In relation to the abovementioned conclusions a few recommendations are presented here.

1. DSP administration should apply the policy research administration system as defined by the Government of Indonesia. According to this system NDPB is the responsible agency on national level for allocating research funds. Therefore the present Steering Committee should be part of NDPB

structure. Members can be appointed from outside NDPB including from Education Institutions. Through this kind of organizational arrangement improvement of project implementation procedures can be made without damaging the existing system.

2. Enforcement of the Secretariat of the Steering Committee. The busy work schedule of Committee members which is unpreventable but causing delay or decline in quality can be dealt with by the existence of a strong Secretariat. The task of the Secretariat among others include coordinating information dissemination about DSP, monitoring and evaluating or conducting seminars about research findings.

3. Improvement of relationship and information delivery mechanism between Steering Committee and USAID Committee. Three alternatives are presented here :

a. Maintaining existing relationship pattern with Drs. Martin Sirait functioning as mediator between both Committees. Yet to improve relationship it is necessary to increase the frequency of seminars about research project design, quarterly reports or final reports. Through these seminars attended by both Committee members communication can be improved.

b. Inclusion of 2 to 3 USAID Committee members in the Steering Committee membership. This way, considerations and arguments used in Steering Committee meetings about sub-project proposals will be better understood by USAID Committee and vice versa.

c. Discontinuing existing communication pattern and alternately activating written communication. Thus USAID decisions about one

sub-project including all implied considerations is presented to the Steering Committee in writing and vice versa.

4. Increase opportunity for policy dialogue between researchers and users. This could be realized by defining additional requirements for selecting sub-project proposals so that a plan for dialogue is included in the research proposal. Moreover, DSP Committee can organize seminars and workshops through which researchers and policy decision makers can exchange ideas.
5. Determining an exact procedure about information dissemination including the delivery of research findings to intended users, Higher Education Institutions, governmental and non-governmental agencies. Information about DSP or about research findings should be provided in the Indonesian language.
6. In order to assist in developing relevant and timely policy research, DSP Committee should play a more active role in directing this development. In relation to the proposal content the Committee may prepare a priority list of development problems. The Committee may also organize seminars regularly to discuss these problems that will provide opportunity to all participants to gain ideas for developing research proposals.
7. Specification of sub-project selection criteria and the format of quarterly and final report.
8. In relation to the problem of delay in completing quarterly or final research reports DSP Committee should check the time element in

incoming proposals as accurately as possible, in particular the real time required by the researchers. Often, prominent names are involved in research proposals to attract the Committee's attention. In reality, these people have very limited time because of their involvement in various other fields.

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