

10110705

OCTOBER 1975

REPORT

OAD-A-CR-127

PN-ABIE-579
72481

Preliminary Design of an Evaluation Methodology Beyond the Specific Project Level

Project Team

Richard V. Bernhart
Albert L. Brown
Robert J. Eckert
Donald L. Goodwin
Edmond C. Hutchinson
Herman L. Myers
Howard C. Olson

PERFORMED FOR
AGENCY FOR INTERNATIONAL DEVELOPMENT
PROGRAM METHODS AND EVALUATION
BUREAU FOR PROGRAM AND POLICY COORDINATION
Contract AID/CM-otr-C-73-198, W.O. 22



AMERICAN TECHNICAL ASSISTANCE CORPORATION

A SUBSIDIARY OF

**GENERAL
RESEARCH**



CORPORATION

WESTGATE RESEARCH PARK, McLEAN, VIRGINIA 22101

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SUMMARY AND RECOMMENDATIONS

This paper reports on Phase I of a study of the feasibility of extending the AID evaluation system to permit evaluation of goals beyond the project level. In essence, this requires finding a way to measure the impact of AID assisted activities on people, institutions and policies and analyzing the criticality of the AID assistance to national development objectives. The study began with a series of interviews of AID personnel and a review of AID project files with the dual objective of determining (1) the requirements and limitations of a goal evaluation program and (2) the possibility of classifying AID project goals for evaluation purposes.

Desirable System Characteristics

At a fairly early stage we concluded that a beyond-the-project evaluation system should be goal-oriented and compatible with the established project level evaluation system. This system should be oriented primarily to focus Agency experience on (1) formulation of Agency-wide objectives, policies and program guidance and (2) more precise formulation of goals for programs and projects. Evaluation inputs to the design and management of ongoing and new projects should be met primarily by the project level evaluation system.

We found that a number of factors condition and limit the characteristics and acceptability of a goal level evaluation system, including factors associated with the development process itself, the AID programming environment, and the adequacy of methods and data. An acceptable system should:

- Be applicable to all types of AID activity and all areas of its operation (but not necessarily be applied to all)
- Be compatible with the existing project level design and evaluation process
- Provide ways to obtain indications of progress towards achievement of ultimate goals before data are available to permit direct verification of their achievement
- Have utility characteristics which provide incentives for its use

- Place a minimum burden on programming and project implementation systems
- Provide inputs into the process of determining causal relationships but not be expected to substitute for the research required to establish such relationships

Most importantly, a goal level evaluation system should be closely associated with other elements of the Agency's Planning, Budgeting, Accounting and Reporting System (PBAR). This is a two-way street. Goal level evaluation should contribute to all other elements of the PBAR system, from program justification and policy formulation to activity design and review. At the same time, the PBAR system must generate the precise goal definitions required for rigorous program planning and evaluation and help to establish the priorities for a selective program of goal level evaluation. Different elements of the PBAR system will undoubtedly require varied inputs from a goal level evaluation system.

The Goal Hierarchy

An examination of goal statements in AID projects revealed that the basic logic system which they incorporate proceeds in an ordered, sequential way from inputs to outputs to project purpose, and beyond the project purpose, through sequential goals at institutional, sector system, target group and national levels. In other words, there is a hierarchy of goals which are assumed to be causally related to each other.

There are also common types of impacts required within each level of the hierarchy, and these Impact Classes are also sequential. The Goal Hierarchy subdivides naturally into four Goal Levels and nine Impact Classes.

	<u>Goal Level</u>	<u>Impact Class</u>
GOAL	I. Institutional	1. Institutional Support 2. Institutional Outputs
	II. Sector System	3. System Support 4. System Outputs
	III. Target Group	5. Target Group Activities 6. TG Activity Outputs 7. TG Benefits
	IV. National	8. National Group Benefits 9. Societal Benefits

The Goal Hierarchy is bi-directional. That is, it can be analyzed in descending order (from the National Level) as the progressive definition of a political goal in terms of what is to be accomplished and who is to benefit and by what mechanisms. Conversely, the ascending hierarchy includes the succession of classes of impacts which must be obtained from project operations in order to achieve the national goal. In essence, the Goal Hierarchy provides a rational means for disaggregating the vague concept of "national goal" into discrete and manageable units.

Goals tend to fall naturally into classes within the Goal Hierarchy. Other goals in the hierarchy (either above or below the stated goal) can be derived logically by identifying the successive actions which must take place if project level efforts are to reach the desired goal. The impacts associated with each goal level and impact class appear to be characteristic of those categories. Initial studies indicate that it is possible to standardize goal types and goal achievement indicators at each level to facilitate program planning.

Figure 1 summarizes the characteristics of the Goal Hierarchy model.

The Goal Level Evaluation Design Framework

The central element of an evaluation system is a basic model for evaluation design with a related instrument which provides a convenient format for assembling the project hypotheses and defining the measurements to test them. The Goal Level Evaluation Design Framework which has evolved is based on the Goal Hierarchy described above, which provides the basic logic for identifying and ordering goals and relating achievement to goals in an evaluation context. It thus serves as a guide to selection of indicators of achievement and setting targets at each stage of progression through the goal hierarchy. It also provides information on means of verification and dates when data will become available.

Chapter II provides a detailed description of the Goal Hierarchy and the Goal Level Evaluation Design Framework. It discusses the application of the system and its utility in tracing out the multiple influences which contribute to goal attainment. It also provides an appraisal of the system and describes advantages and limitations.

Figure 1 -- GOAL HIERARCHY

Lowest ←----- GOAL HIERARCHY -----→ Highest									
GOAL LEVELS	I. INSTITUTIONAL LEVEL		II. SECTOR SYSTEM LEVEL		III. TARGET GROUP LEVEL			IV. NATIONAL LEVEL	
IMPACT CLASSES	(1) Institutional Support	(2) Institutional Outputs	(3) System Support	(4) System Output	(5) Target Group Activities	(6) Activity Output	(7) Target Group Benefits	(8) National Group Benefits	(9) Societal Benefits
TYPE OF IMPACT SOUGHT	Creation, modification or support of institution	Desired institutional outputs	Change sought in activities or characteristics or resource availabilities of a system which involves multiple institutions	Change sought in system outputs	Change sought in TG activities or characteristics	Change sought as a direct result of changed TG activities or characteristics	Change sought in TG benefit incidence	Change sought in benefits to broad social and economic groups and in factors which define national societal goals	Broad goals such as economic growth, social mobility and equality, national health, expanded opportunity, etc.
CHARACTERISTIC IMPACTS	Changes in size, functions, activities, staff, procedures, available resources	Institution operating effectively to produce one or more higher level impacts • Policies, services and products of single institution	• Number, type, volume or quality of activities • Size, quality and composition of system characteristics	• Policies, services and products	• Behavior (practices) • Knowledge (understanding) • Attitudes (receptivity) • Organization	• Productivity • Production • Employment • Consumption (diet) • Birth Rate • Morbidity • Power (influence)	• Income food, clothing, shelter • Health • Security	Changes in: Sector and national production Sector and national employment Food and fiber supply Program priorities Population growth Absolute and relative output and income of various sectors	Changes in: GNP Income distribution Economic dependency relationship

Figure 1 - THE GOAL HIERARCHY

System Feasibility

We applied this system to a wide variety of projects from AID files, including individual, multiple project, sector program and regional undertakings. We have found it to be useful in tracing out the relationships among AID and non-AID activities contributing to goals at different levels. It can be applied conceptually to any of the substantive areas (agriculture, education, population, health, infrastructure, etc.) in which AID commonly operates. The Goal Hierarchy appears to provide a fundamental (nearly universal) method for tracing the logical progression of above-the-project goals from the institutional development objectives to national societal benefits.

The performance of a goal level evaluation system will be constrained by the nature of the environment in which it must function. Some of these constraints are associated with the development process itself: wide variability in type, size, scope and conditions of operations; limitations of theoretical and empirical understanding of the development process; and the multiplicity of external forces bearing on project operations. Other constraints are caused by inadequacies of evaluation methodology and data. There are also constraints associated with the AID programming environment: AID inputs are small relative to the total inputs directed to AID supported goals, staff is already heavily burdened by planning and monitoring requirements. These constraints limit the degree of precision which can be expected from goal level evaluation and require great selectivity in the application of the system.

The model can serve as the basis for routine in-course or post-termination evaluations of achievement of project objectives at each goal level, using data recorded periodically during and subsequent to project implementation. It is also useful for designing case-by-case evaluations of individual projects or groups of projects, or to compare similar projects. If appropriate data are available, the model could be used to design an evaluation of impacts unforeseen in project design. The system appears to be sufficiently flexible to apply to most assistance situations, but has an underlying logical basis which rejects unworthy hypotheses.

We have applied the Goal Hierarchy model to project and program design and find it very helpful in thinking through the assumed relationships between project inputs and national goals. It should become a useful tool for project design and review. We hasten to point out, however, that although a clear definition of the goal is required for measurement, goal achievement can be measured without that goal having been defined in the project design stage. This is of signal practical value to the utility of goal level evaluation. Project objectives beyond the purpose level have seldom been defined with the precision required for evaluation. Similarly, changes in AID objectives may generate a need to evaluate ongoing projects against goals other than those originally enunciated.

Goal Statements in the DAP

The success of any goal level evaluation system requires a clear enunciation of the goals to which AID programs are directed. We believe that this should be a function of the DAP analysis and review process. Given the fact that AID and host country goals may be stated differently, or pursued with different priorities, we believe that the DAP should seek reconciliation between the two. However, program development and evaluation should both be based on the DAP-enunciated goal statements (pp III-3 to 5).

Attribution at the Goal Level

It is clearly feasible to trace out the relationship between a project and a series of intended goals to show how this project and other activities might contribute to these goals. It is also possible to identify and measure the indicators which are associated with goal achievement. The precise statement of objectives and the measurement of progress towards their achievement are of value in themselves, but they do not constitute attribution. Measurement of change in an indicator does not establish the reasons for that change.

We doubt that it is possible to attribute a specific level of goal achievement to AID assistance, particularly at higher goal levels. The multiplicity of forces which influence the attainment of higher goals, the inadequate state of our knowledge of developmental cause and effect relationships, the inadequacy of data, and the time required for definitive

results to become apparent, all prevent quantitative attribution. This problem is discussed extensively in Chapter III (pp III-9 to 14).

In the near term, attribution must rely on considered judgment based on limited evidence and logic, at least at higher goal levels or in circumstances in which many variables, known and unknown, may influence results. This judgment will be improved by the continued improvement in our understanding of the nature, functioning, and interrelationships of systems in developing countries, and by improvements in the data base.

Goal Level Evaluation and PBAR

We traced out the AID decision making process, and particularly the policy formulation/program guidance/program design and approval network as it exists and is being modified by PBAR. This provided us with an initial understanding of the types of information which would be required at the different steps of the PBAR system (pp I-11 to 14). Using a simplified version of the PBAR network, we superimposed a network of the AID evaluation system as it will probably be modified to include the management information system. While this system works, in the sense that evaluations are performed and results become available, we suspect that considerable improvement can be made in the area of analysis and synthesis of evaluation data from multiple sources and dissemination of conclusions. The incipient management information system may exacerbate this problem if its characteristics are not carefully delimited. Chapter IV provides a discussion of the AID decision making processes as related to evaluation.

Management of Goal Level Evaluation

We are convinced that goal level evaluation is feasible and desirable. The Goal Hierarchy model provides a sound basis for designing such goal level evaluations. However, we do not, for a variety of reasons, believe that goal level evaluation should be applied universally in the near term.

In this regard, goal level evaluation is quite different from project level evaluation and requires different management. Much of the progress to be expected at the goal level will occur after project assistance has been terminated. Project personnel will have transferred, or will be concerned

with other activities. They cannot be expected to be enthusiastic about a retrospection that does not serve their more pressing needs.

Most goal level evaluation is complex, time consuming, and professionally demanding. We do not anticipate that Mission staffs, already burdened with project design, monitoring and evaluation requirements will be able to perform such evaluations without outside help.

For these and other reasons, we believe that responsibility for goal level evaluation will have to be in AID/W rather than in the field. A single staff office should be responsible for developing and managing a selective program of goal level evaluation, but must involve other AID/W staff offices and regional bureaus in setting priorities and in the analysis-synthesis-conclusion process.

Next Steps

1. AID should continue to treat the formulation and institution of goal level evaluation system as a research and development effort, of which Phase II of this study is the next step. Phase II should test the validity of Phase I conclusions by applying the Goal Hierarchy model to an active program in a cooperating field Mission. This would include working with Mission personnel in:

- Reconciliation of national and AID goals and statement of the resultant goals for the DAP
- Preparation of Goal Level Evaluation Design Frameworks for USAID projects and their integration with DAP goals
- Ascertainment of goal level evaluation data availability
- Analysis of the utility of the model and of the tangible and intangible costs required for its application

2. AID should promulgate the necessary authorities to permit a designated office to undertake planning and initial studies for a program of research and development for goal level evaluation, concurrently with the Phase II field validation work.

3. The R & D effort should be highly selective (by goal, substantive area, and country activity). It should include the following elements:

- a. Preparation of a planned and systematic program for identification and evaluation of selected goals of primary concern
- b. Evaluation on a continuing basis the degree of achievement of those goals in selected countries, without attempting to relate achievement directly to particular projects or activities
- c. Evaluation on an experimental basis of project-related goal attainment in other selected countries as an integral part of the overall program planning and decision making process of the Agency
- d. Expansion in a few selected cases of planned project level evaluations to include goal attainment evaluations.
- e. Continued testing of the use of the Goal Hierarchy model and Goal Level Evaluation Design Framework as instruments for planning, evaluation and reporting

4. Procedures should be established which facilitate the availability of evaluation information to the process of preparation and review of agency policy statements, sector analyses, DAPs, PIDs, PRPs, and PPs.

CHAPTER I
INTRODUCTION

A. BACKGROUND

AID's current evaluation system provides for an annual evaluation process involving formalized annual reporting of progress for all technical assistance activities and certain other non-capital projects. Other types of projects, sector programs, and country and regional programs may be evaluated on a case by case basis, while special evaluations of general types of programs such as small farmer credit, may be conducted from time to time. Under existing formal procedures for evaluation of technical assistance projects, design includes a "logical framework" which describes and quantifies successively the expected project inputs, outputs, purposes, and goals; postulates causative linkages among them; defines the assumptions needed to complete the success hypothesis; and establishes indicators of achievement for each result level. Project success is evaluated in terms of results achieved as measured by the change in these indicators.

This system functions with reasonable effect for the types of projects to which it is routinely applied, for the management objectives it is intended to accomplish, and within the practical limits which have been tacitly accepted. That is, the existing evaluation system provides an effective means for stating the project hypotheses of technical assistance projects, providing the indicators which are to be the measure of success, and routinizing the periodic review, redesign and control of these activities. The clarity of project design has been enhanced, measurement and reporting has been simplified and strengthened, and management control appears to be more effective. We have found the concepts of the system to be useful when applied to a number of other types of activities, including capital projects and sector programs.

The system has been of limited utility in expressing the distal objectives of AID activities, describing the causal linkages between AID operations and these goals, and providing a rational basis for reporting and evaluating progress towards them. Current evaluation processes normally stop at the purpose (and sometimes the output) level. Goals are seldom expressed in operationally useful terms, but in terms of broad national or sector objectives which are causatively far removed from project outputs and purposes.

AID is now considering the possible extension of the present project level evaluation process to all types of AID activity, including capital projects, research activities, and other types of projects not now covered. It is also studying the need for and the means by which an evaluation process might be applied to objectives beyond the project level, the "goal" levels which are not now evaluated under the existing program. Contracts have been let for the study of problems and opportunities in each of these areas.

This document reports on the work done under the contract for assistance in extending the evaluation process beyond the project level. The work has proceeded on the assumption that a project level process similar to that now in use for technical assistance projects and embodying the same basic concepts will be put into effect for all major types of project. Participation in briefings and discussions with the contractor concerned with the horizontal expansion of the system tend to confirm the validity of that assumption and suggest that that process will be consistent with approaches developed in this undertaking.

The general objective of the study specified in the Work Order is to "provide assistance to AID in the survey and preliminary design of evaluation methodologies for application beyond the specific project level." It is intended to provide the preliminary design of methods for appraising progress toward achievement of goals, and assessing the contribution of AID assistance to that progress. It was expected that this study would propose evaluation approaches which could be applied to the measurement of progress at the goal level of all types of assistance provided by AID and to subsector, sector, and other activities which transcend a discrete project. It was also anticipated that these approaches should be applicable both to the goals of a single host country and to regional goals and should permit cross country comparisons.

B. METHODOLOGY

This study involved performing the following tasks:

Task I. Identification of system purposes and desired system characteristics.

- a. Determination of constraints affecting system choices
- b. Determination of the types of evaluations needed by the program development, project design and approval system
- c. Identification of points at which evaluation impacts should be introduced into that system

Task II. Development of a preliminary model.

- a. Identification of activities and goals and their interrelationships
- b. Classification of goals, identification of impact characteristics, and development of a logical sequence or order of goals
- c. Development of types of indicators of goal achievement at each level and determination of data requirements
- d. Consolidation of goal levels, impact characteristics, and achievement indicators into an evaluation model and related evaluation framework

Task III. Elaboration, testing and modification of the model.

- a. Testing the framework against various kinds of real and hypothetical projects in five selected areas: agriculture education, health, infrastructure, and regional projects
- b. Preliminary design of other elements of a total system
- c. Relating the goal level system to the project level evaluation and to the program development, project design and approval processes

Task IV. Development of recommendations for final design, testing and implementation of the system.

In performing these tasks we employed the following techniques:

1. Examination of selected (some deliberately chosen and some randomly selected) project files to identify types of activities, related goals, and the nature of project design, and to test the evaluation model

2. Examination of the current program development, project design and approval system and the proposed PBAR system, mapping the process flows and decision points
3. Review of the current evaluation system, practices and instruments
4. Review of evaluation literature and theory
5. Interviews with AID personnel.

In this report we have tried to apply to terms their usually accepted meanings in common parlance, rather than giving them specialized and specifically defined meanings. The terms commonly used in project design and evaluation have been given meanings of varied degrees of specificity by such common use. Some semantic confusion may occur from time to time as certain terms are used. We have tried to use the following terms consistently while avoiding being overly pedantic:

Project - A single individual activity or undertaking when the context so indicates. Otherwise the word is used as a generic, inclusive term which may include a collection of individual activities (including coordinated subsector and sector activities) when the collection is financed and administered as a single undertaking.

Program - A collection of a number of related projects which are directed at common goals.

Goal - Any objective of an undertaking or undertakings (projects or programs) which transcends and is supported by "project purposes" as that term is used in the AID project level evaluation system.

Other terms are defined more specifically when they are used as an essential element of the proposed system.

C. THE NATURE OF EVALUATION

The general term "evaluation"* may legitimately be used to describe various AID processes: (1) pre-approval examination of proposed activities to determine their economic and technical feasibility; (2) project monitoring to assure effective and efficient implementation and administration; (3) internal audits to determine compliance with statutory criteria and agency policy and to identify management problems for correction; (4) cross-project and cross-country comparisons of alternative approaches to project development and implementation; (5) assessments of results in terms of achievement of stated or implied development objectives; and (6) operations research directed at establishing empirically cause and effect relationships or improving management processes. Over the last five years, AID has progressively restricted the term "evaluation" to the fifth type of activity, even though AID's evaluation process draws from and contributes to the other processes.

Achievement of objectives may be assessed for individual projects, types or classes of projects, or sector and sub-sector programs, and relative success can be compared among countries and among types of activities with similar objectives. The intent of such results evaluations falls into two categories: (1) to improve the management of an ongoing activity, including adjustments in design, funding and management, or (2) to provide evidence which may be used to establish or modify policy and program guidance affecting future operations. These categories in turn determine the probable user, the decisions they are intended to affect, the time at which evaluations should be conducted, the skills and techniques required, and the organizational locus of responsibility for their planning, conduct, analysis and synthesis, and dissemination.

*The literature on evaluation is enormous, ranging from attempts to establish a body of acceptable theory through administrative manuals to inspirational articles in business and management magazines. We did not attempt an exhaustive review, but concentrated on the theoretical literature in the early stages of this study to provide a backdrop to empirical analysis. An in-house paper on the subject and a bibliography have been made available to PPC/DPRE.

For the purposes of this contract, evaluation is considered to be the assessment of progress toward the accomplishment of those objectives of the project which are beyond the "purpose" level, i.e., the project goals. This study assumes the existence of a system for project level evaluation which will assess the achievement of results at the output and purpose levels.

Evaluation has some common elements with and is affected by and should affect project design and should be a part of an overall integrated process which includes both. It is, however, distinguished from project design as a different subsystem in the total process and in terms of purpose and component elements.

This study also distinguishes clearly between the evaluation of results and the process of project design, and concentrates on the development of a system for evaluation. Concomitantly with the adoption of its achievement evaluation system, AID has increasingly extended the evaluation process to include project design. Effective project design is essential to the efficient operation of a universal, repetitive, management-oriented evaluation system and is a legitimate concern of those managing such a program.

Initial project design is of considerably less importance to an evaluation process operating over a time span longer than the life of the project. An evaluation conducted after the termination of a project obviously cannot be used for in-course corrections. A long term evaluation process, being of less universal management application, tends to be used more selectively and retrospectively to help determine policy and program guidance rather than to redirect the project being evaluated. Goal level impacts are commonly influenced by many factors beyond management control, while the time lapse required for their achievement may well encompass significant shifts in agency concerns and objectives, as well as better understanding of the factors which influence results.

The distinction between project design and evaluation is necessary on both conceptual and practical grounds. Ideally, evaluation requires three successive actions: (1) measurement of the extent of accomplishment of desired objectives; (2) determination of the significance of such accomplishments; and (3) attribution of the reason for those accomplishments. A schema for project design which rigorously describes the logical sequence from inputs to outputs, to purposes, and to goals does provide a basis for a complete evaluation, especially at the output and purpose level. Project design can also help evaluation at the goal level by providing a basis for assessing the logic of assumed relations between inputs and what happened. Similarly, a goal level evaluation system using a method such as the Evaluation Design Framework which we propose later in this report can provide a basis for appraising the adequacy of project design either before project approval or after it is underway. It thus can serve as a means for project redesign during the course of project activities and before subsequent results are to be expected. It can also provide evaluators with a basis for assessing whether project design appears reasonably related to the results which occurred so that judgments can be made as to possible cause and effect.

Conceptually, however, project design need not be considered in determining whether desired results in fact occurred and what the significance of such results was. Project design may be a factor, along with numerous other factors, which contributes to results but it is not relevant to a determination of what results were. Of course goals must be articulated before accomplishment can be evaluated. It is not necessary, however, for the goals being evaluated to have been articulated when the project was designed. They can be articulated at the time of undertaking the evaluation. The evaluation assesses the extent and importance of the achievement and provides judgments on the reasons for the achievement. It may also suggest whether failure to articulate goals at the project design stages seems to have been a factor in any shortfalls in achievement.

Similarly, it is conceptually possible, and frequently necessary, for an evaluation to be made of the accomplishment of goals different from

those specified in the project design. Projects designed to accomplish a specified objective may also contribute to accomplishment of other objectives. For example, projects designed to increase agricultural production without reference to target groups may in fact contribute to target group benefits. Or again, certain transportation projects whose designed goal was to increase GNP through reduced user costs and increased access to markets may at the same time have contributed to the industrial development of rural areas or to rural employment.

The distinction between project design and evaluation is important from a practical point of view, especially for goal achievement evaluation, since objectives beyond the purpose level frequently have not been identified or expressed in terms which provide a meaningful basis for evaluation. Similarly, when AID objectives undergo significant change, a need is created to evaluate ongoing projects against new goals rather than those originally enunciated. Any beyond-the-project evaluation systems must be able to deal with goals which were unarticulated in the project design stage or which changed over time.

We have therefore concentrated on designing a system which can be implemented selectively and which can accommodate the need for evaluation in terms of both foreseen and unforeseen objectives or concerns. The evaluation instrument which we have developed will help in the project design process, and it may be applied universally. However, the primary evaluation concern at the project design stage is with identifying achievement indicators to test the evaluation hypotheses eventually chosen. Project design provides a means for defining the current hypotheses and assuring the collection of data to help test these relationships, but provides no assurance that these will eventually be relevant.

D. DETERMINATION OF SYSTEM CHARACTERISTICS

The nature of an evaluation system and the way in which it operates must, of course, be related to the environment in which it must operate. Since AID activities are directed toward accomplishment of goals and since its programming and project design systems specifically provide for

establishment of beyond-the-project level goals, the evaluation system should be goal-achievement oriented.

Ideally, as a means of appraising progress toward goal achievement and the relation of AID assistance to goal achievement, goal-oriented evaluation would measure the specific extent of goal achievement, identify the specific cause and effect relationships involved in that achievement and quantify the contribution of the various inputs, and in particular identify and quantify the contribution of AID assistance to results obtained.

Judgment and experience, however, suggest that many factors may operate to condition and limit the way and the extent to which goal level evaluation can operate to produce such results under the conditions and circumstances in which assistance programs are carried on. The following are the more important of such factors:

1. Limitations associated with the development process
 - a. Development activities are extremely varied in size, scope of influence, subject matter, interrelationships, and intended objective.
 - b. Theories of economic and social development, as applied to these widely varied efforts, are still in the process of development and testing. Our knowledge of causal relationships in most development situations is understandably weak.
 - c. The conditions and circumstances under which a given type of activity must operate vary widely from country to country, further exacerbating the effects of varied projects and limited theoretical or empirical understanding.
 - d. Development projects operate in an open system, subject to a multiplicity of interrelated forces which bear upon project results, and over which project managers may exercise little or no control. The relative strength of these external forces increase and the influence of individual projects may be expected to decline as objectives approach broad national goals.

2. Factors associated with the AID programming environment
 - a. AID inputs are usually quite small relative to total inputs directed toward AID supported goals. The significant contribution of the AID activity must therefore be demonstrated by unique linkage or extraordinary impact, rather than by proportionate inputs.
 - b. Program requirements and decision making systems are already heavily loaded and considered to be burdensome. There is a tendency to deal substantively only with that minimum number of elements which experience has demonstrated to be crucial to project approval and to address others only formalistically or not at all. There is resistance to adding further requirements which do not make an immediate and significant contribution to operational needs.
 - c. Considerable effort has been devoted to the establishment and installation of evaluation systems. Despite significant success, results are still spotty, with considerable variation in application among AID bureaus. There is still a significant degree of skepticism about the feasibility, usefulness, and acceptability of a system for evaluation of goal achievement. AID activities are goal oriented and its project design system specifically provides for the establishment of beyond-the-project goals. However, many activities have not yet been redesigned to make explicit either the ultimate goal or the chain of events which lead to its achievement. Specific goals may be unstated or expressed in very broad terms, and are questionably related to the project effort.

3. Factors associated with methods and data
 - a. The state of the art of evaluation is far from fully developed.
 - b. Relatively few AID staff members have in-depth familiarity with evaluation methodology and techniques, and with related experimental methods and analytic techniques.
 - c. The data available for evaluation may be limited in both volume and reliability. Baseline data gathered at the initiation of

a project are not necessarily reliable because they provide no evidence of trend. AID has limited control over the type of data which can be obtained in and from the host country and of the kind of testing and reporting which can be required from the host country.

These conditions and the nature and purpose of such a system have led us to the following conclusions about the desirable characteristics of an AID beyond-the-project-level evaluation system. (1) Such a system should, if possible, be applicable to all types of AID activity and all areas of its operation. (This is not to say that the system should necessarily be applied to all areas and activities.) (2) The system should be compatible with the existing project level evaluation process. (3) It must provide ways of obtaining indications of progress toward achievement of ultimate goals before such goals are in fact achieved or data are available to permit direct verification of their achievement. (4) The system must have utility characteristics which provide incentives for its use. (5) It must place a minimum burden on programming and project implementation systems. (6) It should provide an input into the process of determining causal relationships but cannot substitute for the basic theoretical and empirical research which that process requires.

E. GOAL LEVEL EVALUATION REQUIREMENTS FOR PBAR

Looked at in a general AID management context, evaluation has two distinct and equal functions:

- (1) To determine the validity of AID actions in achieving AID goals; and
- (2) To assure the reasonably objective collection and analysis of information on Agency projects and programs so that it may be used by policy makers, planners and managers in making program and policy decisions.

Management of current projects will be affected primarily by the project level evaluation system. An effective goal level evaluation

system should synthesize goal related information primarily for use by management in:

- Program justification
- Policy formulation and program guidance
- Country goal and program formulation
- Activity identification
- Activity design and review

In the AID program planning process, these activities, together with project management and evaluation, form a circular, cyclic continuum with a number of possible feedback loops (see Chapter IV).

Goal level evaluation results are needed in most stages of the cycle but the type or detail of the information needed at each stage is somewhat different.

1. Program Justification refers here to the interactive process between the Executive and Legislative Branches which results in authorization of AID programs and appropriation of funds for their support. The inputs of goal level evaluation should include information on:

- Progress being made towards substantive area (agriculture, population) growth, or equity goals examined in that process.
- The types of AID programs which have been associated with that progress, with specific examples of country and project cases.

2. Policy Formulation and Program Guidance is the process of establishing overall Agency and regional objectives, developing strategies, and establishing standards and criteria for assessment of progress. The same type of information is required from goal level evaluation for this process as is required by program justification. However, complete and detailed comparative information is needed on relative success in meeting different types of goals and on the association of different types of programs with variations in goal accomplishments. In addition, such evaluation experience should confirm or call into question the hypotheses involved in programming inputs to achieve particular goals. In particular, it should provide comparative information about the ways in which technical, economic, and

socio-political factors affect programs, so that guidance may reflect the types of programs which are most consistently successful, the program structures which are most successful, the conditions which are conducive to success, and the methods for identifying or creating favorable conditions.

3. Country Goal and Program Formulation is the process of establishing the basic context in which activities in a given country are to be planned and executed. This process, embodied in preparation and review of the DAP, relates the AID and host country objectives, establishes specific AID goals, and formulates basic strategy for AID programs in a country. The preparation and review of the DAP requires the same generic information required by the policy formulation and program guidance process and should be provided by it. In addition, goal level evaluation should generate country specific experience on the comparative success of various programs in meeting different goals.

4. Activity Identification outlines in the Project Identification Document (PID) the specific activities which AID expects to undertake in a country. The primary inputs needed from goal level evaluations consist of information on prior experience with the proposed type of activity in its relationship to achievement of particular goals in order to estimate the likelihood of success.

5. Activity Design and Review is the process by which each activity is developed in detail and approved for AID financing. This process involves the successive development and review of the Project Review Paper (PRP) and the Project Paper (PP). PRP development needs the same generic type of information from the goal level evaluation as is needed for the PID but in considerably greater detail. The designer needs specific information on the behavior of similar projects under different conditions in order to adjust his project to local conditions or to provide inputs to modify those conditions. He must have information on which to base estimates of expected change, establish goal level targets with some precision, and compare benefits and costs.

The Project Paper (PP), as more of an implementation document, will draw far more heavily on the project level evaluation system. Goal level evaluation will make a primary input to the design of the evaluation plan for the project, however, particularly in selecting the indicators and laying the basis for subsequent evaluation. It is at this stage that a detailed Goal Level Evaluation Framework should be prepared to serve as a basis for future beyond-the-project level evaluations. The need to prepare this instrument could serve as a very useful means of providing for clear identification of goals and improved project design.

6. Project Implementation. Goal level evaluation is expected to provide few inputs into the implementation process because of the length of time for project inputs to be reflected in goal level indicators. There are possibilities that leading indicators of lower order goal accomplishment will provide some evidence that the project is or is not on the right track, but the primary source of in-course corrections in project design should come from project level evaluations. It is assumed that project level evaluations will continue to examine the adequacy of the hypothesized relationship between the project and its goals.

CHAPTER II

THE GOAL HIERARCHY AND THE EVALUATION FRAMEWORK

A. THE GOAL HIERARCHY

The conditions affecting the operation of a goal level evaluation system made it apparent that some means must be found to accommodate the great diversity of AID activities and objectives and the potential requirement for an equivalent variety of achievement indicators. The system would also have to deal with long time periods required for achievement of some types of objectives and an imperfect understanding of cause and effect relationships.

Under these circumstances, we hypothesized that the problem would be greatly simplified if AID objectives, expressed as goals, were found to be common to substantive areas or types of activity. If, in addition, we found a sequential and logical order among these goals, a manageable evaluation system might be possible. The ability to classify project goals into groups common to principal types of AID activity should permit development of a system which could be applicable generally to a large number of conditions, activities and programs. The existence of a sequence among these objectives should permit an assessment of the logic of the assumed relationship between AID assistance and desired results. It would also permit progress evaluations of impact on lower level goals before enough time had elapsed for impacts on higher order impacts to be felt.

A variety of AID projects were reviewed to determine whether we could discern any patterns of commonality of goals which could be used to categorize and otherwise order their relationships.

These examinations reveal that AID programs do incorporate a general logic system in which progress proceeds from stage to stage in an ordered and sequential way, i.e., from input to output to purpose and from project to institution to system to target group, to broader societal and national benefits. The outputs, results, and benefits beyond the project are currently incorporated in the generic term "goals."

We find that there is a logical order or hierarchy of goals below, and leading to and derived from, national goals. This hierarchy is based in descending order (from the national goal) on the progressive definition of the national political goal in terms of what is to be accomplished and who is to benefit and by what mechanisms. Conversely, the ascending hierarchy includes the succession of classes of impacts which must be obtained from project operations to achieve the national goal.

We believe that these goals can be classified into "national" levels and described in operationally relevant terms which can provide a basis for designing activities to produce specifically identified results at a particular goal level. Results achieved at one level serve as the means to accomplish next order goals. In other words, there is a causal relationship between activities and successive goal levels which is demonstrable either empirically or logically.

Examination of AID project files revealed that not only is there a hierarchy of goal levels but that there is also a distinction among types of impacts to be obtained within each level within the hierarchy. This generally involves a distinction between desired changes in activities or characteristics, outputs expected, and resulting benefits. We have designated these as "Impact Classes."

The Goal Hierarchy is subdivided into four Goal Levels and nine Impact Classes.

	<u>Goal Level</u>	<u>Impact Class</u>
GOAL I.	Institutional	1. Institutional Support 2. Institutional Outputs
II.	Sector System	3. System Support 4. System Outputs
III.	Target Group	5. Target Group Activities 6. TG Activity Outputs 7. TG Benefits
IV.	National	8. National Group Benefits 9. Societal Benefits

The following definitions help provide an understanding of the classification of Goal Levels and Impact Classes:

I. Institutional Level. An institution is a significant organization which is a part of a sector system. It may be a ministry or a primary subdivision thereof, an autonomous agency, a private firm, or other organizational entity. Depending on how the sector being assisted is defined, it may also be a discrete subsystem of the sector system, e.g., credit, marketing. Institutional Support is creation or modification of or assistance to an organization. Institutional Outputs are policies, services and products of a single institution or, in some cases, of a single subsystem.

II. Sector System Level. A sector is that segment of an economy which is composed of interrelated activities, institutions, and relationships which are directly related to a program goal. A sector system is the combination of and the interrelationship among organizations, practices, channels and policies which moderate sector performance. Many projects as described appear to leap directly from institutional output to target group activity. However, target group activities (and the success of the institutional output) are normally influenced by non-project functions of the sector system. In practice, these essential non-project influences should be addressed in the Sector System Level. System Support impacts include changes in the number, type, volume or quality of system activities and in the size, quality and composition of the system's characteristics. System Outputs are policies, services and products emanating from multiple institutions operating as a single sector system.

III. Target Group Level. A target group is an identifiable class of people who will receive a benefit or whose actions are required to effect an impact on a higher order goal, or both. The target group may be a limited subclass of the population, or it may include the entire population of a country. It may also in some cases, e.g., regional projects, include geographic or political areas rather than people. A single project may involve more than one target group. Target Group Activities are the

behavior, knowledge, attitudes or social organization which project, institutional, or system outputs attempt to alter. Activity Outputs are the proximate results of target group activities. Target Group Benefit is the desired resultant of activity outputs, e.g., farmers change their management practices (activity) to increase productivity (output) to get a higher income (benefit).

Note: The activities of one target group may produce results which benefit another target group and/or lead to a different national goal. Using the same example, farmers (TG-1) may change their management practices to increase production to get a higher farm income (Goal-1). The changed management practices may increase employment, benefiting farm workers (TG-2) to achieve a better income distribution (Goal-2).

IV. National Level. National level goals represent those benefits desired for broad national groups and the society as a whole. These are the goals most commonly stated in national development plans or articulated by national leaders. National Group Benefits are changes in characteristics of broad groups which transcend the target group and define and give content to national goals. National Groups may be the nationwide aggregate of regional target groups or any other significant class of citizen. Societal Benefits represent the national aspiration for economic growth, improved social relationships, general well-being, participation in the international order, and national policy. They thus represent the goals from which lower order goals should be derived and to which activities should ultimately be directed.

Figure 1 is a schematic representation of this Goal Hierarchy. The stubs in the first column refer to the cells in the horizontal array. "Goal Levels" refers to the classification and ordering of goals as shown in the corresponding horizontal row. "Impact Class" subclassifies the successive impacts or subgoals within each Goal Level. The "Type of Impact" represents the fundamental type of change associated with each Impact Class. Characteristic Impacts are illustrative of typical specific impacts of a given Class, and are suggestive of indicators of goal achievement.

	Lowest ←----- GOAL HIERARCHY -----→ Highest								
GOAL LEVELS	I. INSTITUTIONAL LEVEL		II. SECTOR SYSTEM LEVEL		III. TARGET GROUP LEVEL			IV. NATIONAL LEVEL	
IMPACT CLASSES	(1) Institutional Support	(2) Institutional Outputs	(3) System Support	(4) System Output	(5) Target Group Activities	(6) Activity Output	(7) Target Group Benefits	(8) National Group Benefits	(9) Societal Benefits
TYPE OF IMPACT SOUGHT	Creation, modification or support of institution	Desired institutional outputs	Change sought in activities or characteristics or resource availabilities of a system which involves multiple institutions	Change sought in system outputs	Change sought in TG activities or characteristics	Change sought as a direct result of changed TG activities or characteristics	Change sought in TG benefit incidence	Change sought in benefits to broad social and economic groups and in factors which define national societal goals	Broad goals such as economic growth, social mobility and equality, national health, expanded opportunity, etc.
CHARACTERISTIC IMPACTS	Changes in size, functions, activities, staff, procedures, available resources	<ul style="list-style-type: none"> Institution operating effectively to produce one or more higher level impacts Policies, services and products of single institution 	<ul style="list-style-type: none"> Number, type, volume or quality of activities Size, quality and composition of system characteristics 	<ul style="list-style-type: none"> Policies, services and products 	<ul style="list-style-type: none"> Behavior (practices) Knowledge (understanding) Attitudes (receptivity) Organization 	<ul style="list-style-type: none"> Productivity Production Employment Consumption (diet) Birth Rate Morbidity Power (influence) 	<ul style="list-style-type: none"> Income food, clothing, shelter Health Security 	<ul style="list-style-type: none"> Changes in: Sector and national production Sector and national employment Food and fiber supply Program. priorities Population growth Absolute and relative output and income of various sectors 	<ul style="list-style-type: none"> Changes in: GNP Income distribution Economic dependency relationship

Figure 1 - THE GOAL HIERARCHY

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Logically and conceptually this hierarchy includes project level objectives. However, since this study is concerned only with a beyond-the-project level evaluation system, we have assumed that there will be a project level evaluation system closely related to the Goal Hierarchy concept and have concerned ourselves directly only with a system for evaluation beyond that level.

The Goal Hierarchy attaches schematically to the project design logical framework at the Purpose level, with the attainment of project purposes serving as the support or activity Impact Class of a higher Goal Level. In view of the nature of AID activity, a great part of which consists of helping to establish an institution, modify it, or otherwise support it in the performance of its functions, this will usually, but not necessarily, be the first Impact Class of the Institutional Goal Level.

For purposes of designing a beyond-the-project level evaluation system, the minimum purpose level with which we are concerned, therefore, is the institutional level, i.e., a project designed to create or modify or support an institution so that it may produce subsequent goal level impacts. It is possible, of course, that the purpose level of any given project may extend upwards in the Goal Hierarchy. However, a universal Goal Hierarchy, applicable to any project, must extend from the institutional level to the national level. A universal Goal Hierarchy designed to fit all cases may also include some levels which may not apply to any specific case.

B. THE EVALUATION DESIGN FRAMEWORK

1. The Model

The central element of a system is a basic model for evaluation design which provides a convenient format for assembling the project hypotheses and defining the measurements to test them. The model which has evolved is illustrated in Figure 1. It is based on the Goal Hierarchy described above, which provides the basic logic for identifying and ordering goals and relating achievement to goals in an evaluation context. It thus serves as a guide to adoption of indicators of achievement at each stage of progression through the goal hierarchy.

The model can serve as the basis for routine in-course or post-termination evaluations of achievement of project objectives at each goal level, using data recorded periodically during and subsequent to project implementation. It is also useful for designing case-by-case evaluations of individual projects, groups of projects, or comparisons of similar projects. If appropriate data are available, the model could be used to design an evaluation of impacts unforeseen in project design.

2. The Instrument

We have designed a summary instrument based on the model for designing evaluations. This instrument (Figure 2) provides for:

- identification of the activity being evaluated;
- description of expected goals within the Goal Hierarchy;
- identification of the indicators of goal achievements;
- a time dimension which indicates when results may be expected and when they may be verified;
- description of the way indicator data is to be obtained; and
- data on AID and non-AID inputs into goal supportive programs.

Figure 3 is a schematic representation of the complete Evaluation Design Framework. It is laid out to demonstrate: (1) that AID projects may contribute to more than one goal chain; (2) that non-AID contributions to a given goal include non-AID contributions to the AID-assisted project as well as all inputs to non-AID-assisted projects; (3) that additional non-AID-assisted activities may contribute to higher level goals in the goal chain; (4) that a given program may include two or more AID projects supporting the same or different goals. This complexity in the relationships between AID projects and national goals is normal. These relationships can be traced out without great difficulty if the designer is reasonably perceptive and persistent, but he must use judgment and selectivity in order to avoid irrelevant clutter.

Please note that the information in all cells but the first column describes the goals, and not the projects. That is, the inputs are a summary of AID and non-AID contributions to the goal and the indicators are indicators of goal achievement, while the time dimension and the method of obtaining data relate to the goal stated for each Goal Level and Impact Class.

Figure 2. THE GOAL LEVEL EVALUATION DESIGN FRAMEWORK

EVAL. LOGIC	Lowest	- GOAL HIERARCHY -		Highest
IMPACT LEVELS	I. INSTITUTIONAL LEVEL		II. SECTOR SYSTEM LEVEL	
SUCCESSIVE IMPACT CLASSES	Institutional Support (1)	Institutional Outputs (2)	System Support (3)	System Outputs (4)
TYPE OF IMPACT SOUGHT				
CHARACTERISTIC IMPACTS				
INDICATORS & TARGETS				
MEANS OF VERIFICATION				
TIME LAPSE TO VERIFICATION				

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III. TARGET GROUP LEVEL

IV. NATIONAL LEVEL

Target Group Activities (5)

Activity Output (6)

Target Group Benefits (7)

Goal Definition (8)

Political Goal (9)

III. TARGET GROUP LEVEL			IV. NATIONAL LEVEL	
Target Group Activities (5)	Activity Output (6)	Target Group Benefits (7)	Goal Definition (8)	Political Goal (9)

FIGURE 3. EVALUATION DESIGN FRAMEWORK (Schematic)

PROGRAM (Identify)

GOAL LEVEL	I. INSTITUTIONAL		II. SECTOR SYSTEM		III. TARGET GROUP			IV. NATIONAL	
IMPACT CLASS	Institutional Support (1)	Institutional Outputs (2)	System Support (3)	System Outputs (4)	Target Group Activities (5)	TG Activity Output (6)	Target Group Benefits (7)	National Group Benefits (8)	Societal Benefits (9)
<u>FIRST AID PROJECT OR ACTIVITY</u>									
1. Identification	I. FIRST GOAL CHAIN								
2. AID Input \$ _____	A. Goal Statement:	A. Goal Statement	A.	A.	A.	A.	A.	A.	A.
3. Non-AID Input \$ _____									
4. Total Project Inputs \$ _____	B. Goal Inputs	B. Goal Inputs	B.	B.	B.	B.	B.	B.	B.
	1. AID _____	1. AID _____							
	2. Non-AID _____	2. Non AID _____							
	3. Total _____	3. Total _____							
RELATED NON AID ACTIVITIES (List by Impact Class)	C. Indicators	C. Indicators	C.	C.	C.	C.	C.	C.	C.
	D. Source of Data	D. Source of Data	D.	D.	D.	D.	D.	D.	D.
	E. Time Results Expected	E. Time Results Expected	E.	E.	E.	E.	E.	E.	E.
	II. SECOND GOAL CHAIN								
	A. Goal Statement:								
	B. Goal Inputs								
	1. AID _____								
	2. Non-AID _____								
	3. Total _____								
	C. Indicators								
	D. Source of Data								
	E. Time Results Expected								
	(REPEAT FOR EACH PROJECT IN THE PROGRAM)								
<u>SECOND AID PROJECT OR ACTIVITY</u>									

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3. Illustrative Applications

Figures 4 and 5 are examples of completed Goal Hierarchies. Figure 4 is a hypothetical population project drafted initially to demonstrate use of the project level logical framework. It is a project to increase the availability of contraceptive information and materials and, at the same time, enunciate and diffuse motivational information on the urgency of the population growth crisis.

Figure 5 shows how the Goal Hierarchy was applied to an agricultural sector loan which is intended to combine technical assistance from the agricultural extension service with a cooperative based system for delivery of credit, productive inputs and marketing services to small farmers. Six separate projects provide for developing the extension training and farm visitation operation, support and improve cooperative management, supply production credit, procurement and distribution of productive inputs, and purchase, storage and marketing of food crops. Each of these projects was the subject of a separate project level logical framework through the purpose level. These are then combined at the Institutional Support level and carried forward through the hierarchy.

4. Coverage of Non-AID Activities

Goal achievement is commonly the result of a number of activities, some of which are AID-financed, others financed by the host country or other donors. In theory the framework should include all activities related to goal accomplishment, both AID and non-AID financed, and deal with them in the same manner. The complete framework thus should list each project, including non-AID financed projects, which makes a significant and necessary contribution to goals of AID-assisted activities. Considerable judgment must be exercised, however, in deciding how far to go in expanding the Framework to include non-AID financed activities. The higher we move in the Goal Hierarchy, the greater the number of contributing activities. Since Class 9 Impacts (Societal Benefits) are very high order national goals, a list of all activities which contribute to them could include most of what is being done in the country. This clearly is not practical and is not intended. Only in a few cases would one expect non-AID

Figure 4. POPULATION PROJECT

Eval. Logic	Goal Hierarchy			
	Lowest		Highest	
Impact Levels	I. Institutional Level		II. Sector System Level	
Successive Impact Classes	(1) Institutional Support	(2) Institutional Outputs	(3) System Support	(4) System Outputs
Type of Impact Sought	<ol style="list-style-type: none"> 1. Establish a contraceptive and birth control information delivery system using pharmaceutical industry. 2. Establish a public relations program to explain impact of population growth. 	<ol style="list-style-type: none"> 1. Contraceptives and birth control information available. 2. Seminars, media emissions, educational materials and courses. 	<p>Non Project Support:</p> <ol style="list-style-type: none"> A. Government policy in support of family planning. B. Maternal and child health clinics include family planning. IPPF clinics established. 	<p>Integrated Birth Control Program</p> <ol style="list-style-type: none"> 1. Materials and information 2. Public awareness <ol style="list-style-type: none"> A. National policy acceptance B. Delivery systems provide guidance and incentives
Characteristic Impacts	<ol style="list-style-type: none"> 1. Pharmaceutical industry expands contraceptive stock, educational displays. Druggists provide advice. 2. National Planning Office information bureau expanded and coordinates public/private programs. 	<ol style="list-style-type: none"> 1. Contraceptives and birth control information available to general public in drugstores throughout country. 2. Saturation coverage of country by public and private information sources explaining impact of population growth. 	<ol style="list-style-type: none"> A. Pro-natalist fervor countered; bureaucracy authorized to take positive action. B. Operational methods for promotion of family planning available. 	<p>Widespread availability of FP materials and information, widespread public awareness of the population problem, reduced resistance to FP, and a positive program to stimulate FP.</p>
Indicators and Targets	<ol style="list-style-type: none"> 1. Ninety percent of druggists, 100% of wholesalers join campaign. 2. All networks and 75% of stations carry programs. Private associations in all towns sponsor seminars. 50% of schools have programs. 	<ol style="list-style-type: none"> 1. Contraceptives prominently displayed in 90% of drugstores. Druggists providing information. Contraceptive sales double. 2. 90% of population aware of impact; 70% understand their awareness. 	<ol style="list-style-type: none"> A. Public statement issued and confirmed B. Forty percent of MCH centers covering 60% of women have FP programs. Thirty IPPF centers in operation reach 25,000 women. 	<ul style="list-style-type: none"> • X Contraceptive units disappear • Y Women of child bearing age reached directly. • Z Percent of population aware of population problem. • C0X budget for FP increased from A to B
Means of Verification	<ol style="list-style-type: none"> 1. Observation 2. Observation 	<ol style="list-style-type: none"> 1. Wholesale import, inventory and sales records. Field observation. 2. Population survey. 	<ol style="list-style-type: none"> A. Public record. B. Review of MCH and IPPF records. 	<ul style="list-style-type: none"> • Pharmaceutical industry records • IPPF and MCH records • Field observation and surveys • National budget
Time Lapse to Verification	During project	During and end of project	During, end of project and EOP plus 5	EOP and EOP plus 5

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Eval. Logic	Goal Hierarchy																								
Impact Levels	III Target Group Level			IV. National Level																					
Successive Impact Classes	(5) Target Group Activities	(6) Activity Output	(7) Target Group Benefits	(8) National Group Benefits	(9) Societal Benefits																				
Type of Impact Sought	Contraceptive use adopted.	Lowered birth rates.	Reduced dependency ratios - Greater per capita income - Greater savings - Greater consumption	<ul style="list-style-type: none"> Greater per capita income Higher savings ratios Higher consumption 	<ul style="list-style-type: none"> Greater investment GDP growth Improved living standards 																				
Characteristic Impacts	Rational use of contraceptive practices to control natality.	Birth rate declines from X per 100,000 to Y per 100,000.	Age class composition shifts upward	Families practicing birth control achieve above benefits of sufficient magnitude to affect national accounts.																					
Indicators and Targets	Forty percent of CBA women controlling natality: <ul style="list-style-type: none"> Understanding of methods. Understanding of objectives. 	<ul style="list-style-type: none"> Later initial birth. Broader spacing between births. Fewer births per family. Fewer abortions. Fewer infant deaths. 	Age class composition changes as follows: <table border="1" style="margin-left: 20px;"> <tr> <td></td> <td>1970</td> <td>1980</td> <td>1990</td> </tr> <tr> <td>0 - 5</td> <td></td> <td></td> <td></td> </tr> <tr> <td>5 - 14</td> <td></td> <td></td> <td></td> </tr> <tr> <td>15-64</td> <td></td> <td></td> <td></td> </tr> <tr> <td>65</td> <td></td> <td></td> <td></td> </tr> </table>		1970	1980	1990	0 - 5				5 - 14				15-64				65				Per capita income increases from X to Y. Household savings increase from A to B. Consumption increases from C to D	
	1970	1980	1990																						
0 - 5																									
5 - 14																									
15-64																									
65																									
Means of Verification	<ul style="list-style-type: none"> Survey Pharmaceutical Industry, IPPF and MCH records. Vital statistics. 	Vital statistics.	Census	National accounts. Household surveys.	National accounts. Observation and study.																				
Time Lapse to Verification	EOP, EOP plus 5, EOP plus 10.	EOP plus 5, EOP plus 10.	EOP plus 10.	EOP plus 15.	EOP plus 20.																				

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Figure 5

IMPACT LEVELS	I. INSTITUTIONAL LEVEL		II. SECTOR SYSTEM LEVEL	
SUCCESSIVE IMPACT CLASSES	Institutional Support (1)	Institutional Outputs (2)	System Support (3)	System Outputs (4)
TYPE OF IMPACT SOUGHT	<ol style="list-style-type: none"> 1. Establish cooperative-based arrangements for delivery of production credit, productive inputs and marketing services to small farmers for food crop production. 2. Improve the delivery of MOA technical assistance to farmers using the cooperative-based system. 	<p>All essential production and marketing services available to small farmers to support food crop production.</p>	<p><u>Non-project support:</u></p> <ol style="list-style-type: none"> 1. KNFC develops input supply capability. 2. MOA develops comprehensive food crop research program. 3. GOK maintains grain storage, price stabilization program. 4. GOK maintains policy emphases which will permit equitable participation of small farmers in food production. 	<p>Assured accessibility by small farmer food producers to a full line of essential services and supplies, including productive inputs, technical advice, credit and marketing services.</p>
CHARACTERISTIC IMPACTS 71-II	<ol style="list-style-type: none"> 1. Cooperatives become multipurpose, expanding storage facilities, stocks and staffs to service small farmers. 2. MOA develops technological package and training program for prospective participants and key field advisory services to program participants. 	<ol style="list-style-type: none"> 1. Credit, productive inputs and marketing services available to small food crop producers through their cooperatives. 2. MOA provides training and technical assistance to small farmers. 	<ol style="list-style-type: none"> 1. Terms of trade are favorable for small farmer production of food crops. 2. Research program yielding improvements in technology. 3. KNFC provides member coops with seed, fertilizer and agricultural chemicals. 	<ul style="list-style-type: none"> • Productive inputs to improve yields per man and per acre. • Technical advice to assure proper application of improving technology. • Credit which permits farmer to procure production factors needed to complement his own resources. • Marketing services and prices which reduce farming risks and provide production incentives.
INDICATORS AND TARGETS	<ol style="list-style-type: none"> 1. Ten unions, 20 societies enter program. Full time managers in all unions. Storage grows by 2700 MT. Staffs increase by 40 members. 2. Farmer Training Centers prepared to train 5500 small farmers per year for 3 years. MOA arranges to visit each participant during growing season. 	<ol style="list-style-type: none"> 1. Ten unions and 20 societies capable of providing all credit inputs and marketing services needed by 16,500 small farmers. 2. 16,500 small farmers trained by FTC's and receiving 3 visits each year by MOAD extension staff. 	<ol style="list-style-type: none"> 1. Cost: benefit ratio remains at 1:2 or better. 2. Yield potential trend line rises by at least 10% per year. 3. KNFC supplies a full line of agricultural inputs equal to member union demand. 	<p>Over a 3-year period, system will supply 16,500 farmers with:</p> <ul style="list-style-type: none"> • KSH 19.7 million prod. credit • 4400 MT of fertilizer • 1700 MT of seed • 90 MT of agri-chemicals • 99,000 farm visits • Purchase, storage and sale of 46,000 MTS of food grains.
MEANS OF VERIFICATION	MIS reports, interviews with staffs of MOA, MOCD and Cooperatives.	MIS reports, interviews with farmers and staff of cooperatives, MOA and MOCD.	Calculation and observation.	MIS reports, and records of unions, MOA, MOCD and other agencies.
TIME LAPSE GO VERIFICATION	During life of project.	End of project.	End of project.	End of project.

III. TARGET GROUP LEVEL			IV. NATIONAL LEVEL	
(5)	Activity Output (6)	Target Group Benefits (7)	National Plan Benefits (8)	Societal Benefits (9)
1. Farmers join cooperatives and use their services. 2. Farmers adopt improved technology, including both materials and methods.	Altered factor proportions, leverage, economies of scale and group influence which generate a larger product & greater returns	1. Increased food available for the farm family and for the nation. 2. Increased employment of farm family and other rural workers. 3. Increased farm family income.	Greater national per capita income. Reduced food imports. Improved nutrition. Fuller employment.	Greater economic growth. Favorable trade balance. Improved health. Better income distribution.
Farmers use improved seed, apply fertilizer and agri-chemicals correctly, use effective management methods, & take advantage of group purchasing & selling leverage.	1. Farmers increase their food crop output per man & per acre. 2. Farmers market their products advantageously. 3. Farmers expand their use of hired labor.	Increased yield with adequate production incentives leads to expanded output. Increased output, advantageous marketing and expanded rural employment generate increased farm family income.	Program is expanded to include entire target group of small farmers nationwide, with same level of benefits expected. Rural per capita incomes and consumption rise, but production rises more rapidly yielding an exportable surplus.	
Of 16,500 farmers trained, some 15,000 enter the program & join cooperatives. Of these, one-third (5,000) follow the entire program correctly. Another one-third use all inputs, but not in optimum amounts. The last one-third omits one or more inputs entirely, or significantly distorts recommendations of the technological package.	1. Yields increase by 50% or more. 2. Prices received by farmers in program are equal to or greater than those attained elsewhere. 3. Hired labor use is greater on participating farms by 10% or more.	Farm family income increases by 10% per year, with 70% of increase coming from farm income and 30% from non-farm income. Rural unemployment declines from ___% to ___%. Food produced by program farmers increases by at least 50% in three years.	Rural per capita incomes rise from A to B. Food crop production rises from M to N. Consumption increases from C to D. Rural savings increase from X to Y.	
Reports of MOA agricultural agents. Survey of farmers.	Reports of MOA agricultural agents. Survey of farmers.	Farm Survey.	National Accounts Household Surveys.	National Accounts.
End of project. EOP plus 3.	End of project. EOP plus 3.	EOP plus 3.	EOP plus 10.	EOP plus 20.

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financed projects which contribute to goals common only at this level to be included. It is more practicable to identify non-AID activities which contribute to Class 8 Impacts, which are still National Level goals. However, even here, the designer should seek to exclude peripheral activities and to group significant contributory efforts.

At the other end of the hierarchy, we would expect all activities contributing directly to Institution Level goals to be included. The same inclusiveness would apply to Sector Level Goals, but with non-AID activities increasingly grouped into subsystems. A precisely identified Target Group provides a means for limiting the contributing activities at the Target Group Activities and Activity Output Classes. However, the desired Target Group Benefit must be stated with similar precision to limit the potential activity input. In any event, skill, discernment and judgment are required in order to include all relevant activities in the framework, without incorporating irrelevant "noise."

5. Goal Descriptors and Achievement Indicators

Goals should be described at each Goal Level Impact Class which the project is intended to affect. In nearly all cases, programming logic requires some statement for each Class through the Target Group Level. Some projects may not have a discernable goal at each level or class. However, blanks at intervening levels in the hierarchy may suggest failure to think through the necessary sequence of events involved in goal achievement, indicating questionable project design.

Goals may be descriptive, but wherever possible should be quantified and time related. They should be stated in terms which make it possible to identify achievement indicators which are reasonably related to the intended result. These indicators should be prepared for each described goal. Indicators should represent discrete events or be subject to serial measurement to determine shifts in magnitude. Chapter 3 provides a discussion of goals in relation to achievement indicators.

6. Time Dimension and Data Recording

Evaluation during the active phase of a project is normally concentrated on input, output and purpose levels. It normally takes several years of cumulative impact at these levels to create or bring about significant changes in an institution, and even longer for the activities of the institution to affect the operation of the sector system, to change target group activities, and to result in significant benefits at the target group or national levels. It follows that while some goal level impacts may occur during the active life of the project, such impacts may not occur, or may occur only at lower goal levels. This timing will obviously determine the dates at which evaluation should take place.

The Framework has been designed to indicate when results are expected and when information on these results will be available, and how it is to be obtained, e.g., host country reporting systems, special studies, surveys. If the evaluation plan includes regular reporting of goal oriented progress, the nature of the reports and when they are to be made should be specified. (See Chapter 4 for a discussion of options in this connection.)

7. Treatment of Assumptions

AID evaluation guidelines require the statement of "assumptions," i.e., the events or actions which must occur and the conditions which must exist in order to achieve the desired results. These assumptions are included in the cellular matrix and help to clarify the rationale for assumed causative linkages from project inputs to outputs to purpose to goal. This rationale is further articulated in the narrative description of the project.

Differences in the nature of project level and goal level evaluation and practical problems of dealing with assumptions at the goal level suggest that assumptions must be handled differently in goal level evaluations. At this stage of system development, beyond the project level evaluation should be concerned primarily with assessment of the facts and extent of achievement, with the assessment of causes largely confined to appraisal of the logic of the relationships set forth in the Goal Hierarchy.

If this conclusion is correct, there is no need to incorporate in the Evaluation Framework all necessary conditions as events which must occur and actions which must be taken to achieve expected results. Such factors become pertinent only when one is considering the reasons results did or did not occur. Articulation of assumed causative relationships between lower and higher order goals, however, is particularly important since it may serve as a principal means for judging the impact of AID assistance on higher order goals. Careful and logical examination of probable cause may provide the best evidence for attribution. Major emphasis should be given to these relationships in the project formulation, design and approval stages rather than at the evaluation stage. Logically, it might also be included in the Evaluation Design Framework. However, format considerations and limitations will probably require that the rationale for such relationships be set forth in a separate textual statement.

Severe practical problems may be encountered in any attempt to rigorously apply a requirement for identification of all events which must occur, all actions which must be taken, and all conditions which must exist for goals to be achieved. The sheer number of goals in most programs would of itself make this a formidable task. The difficulty is likely to increase greatly as final goals proceed up the hierarchy.

Achievement of National Level Goals requires the existence of an enormous number of conditions and the occurrence of a multitude of events and actions spread through many areas of society, many of which will not be known and are probably unrelated to the accomplishment of lower goals, but are needed to accomplish the higher order goals. There will at best be some confidence that certain events, actions, and conditions are necessary to goal accomplishment. There is also likely to be certainty that these necessary actions are not sufficient to the achievement of higher order goals, but great uncertainty as to what these other necessary conditions might be.

Major actions which must be taken, such as policy changes or the provision of resources, may in fact be goals at some level in the hierarchy and as such will become incorporated into the framework. Similarly, the identification of significant non-AID activities or projects which support AID-assisted goals is provided for in the Goal Level Evaluation Design Framework.

Under these circumstances, it appears to us that other assumptions should not be incorporated formally into the framework. Analysis of these more tenuous relationships should be treated in the project design narrative.

8. Range of Applicability

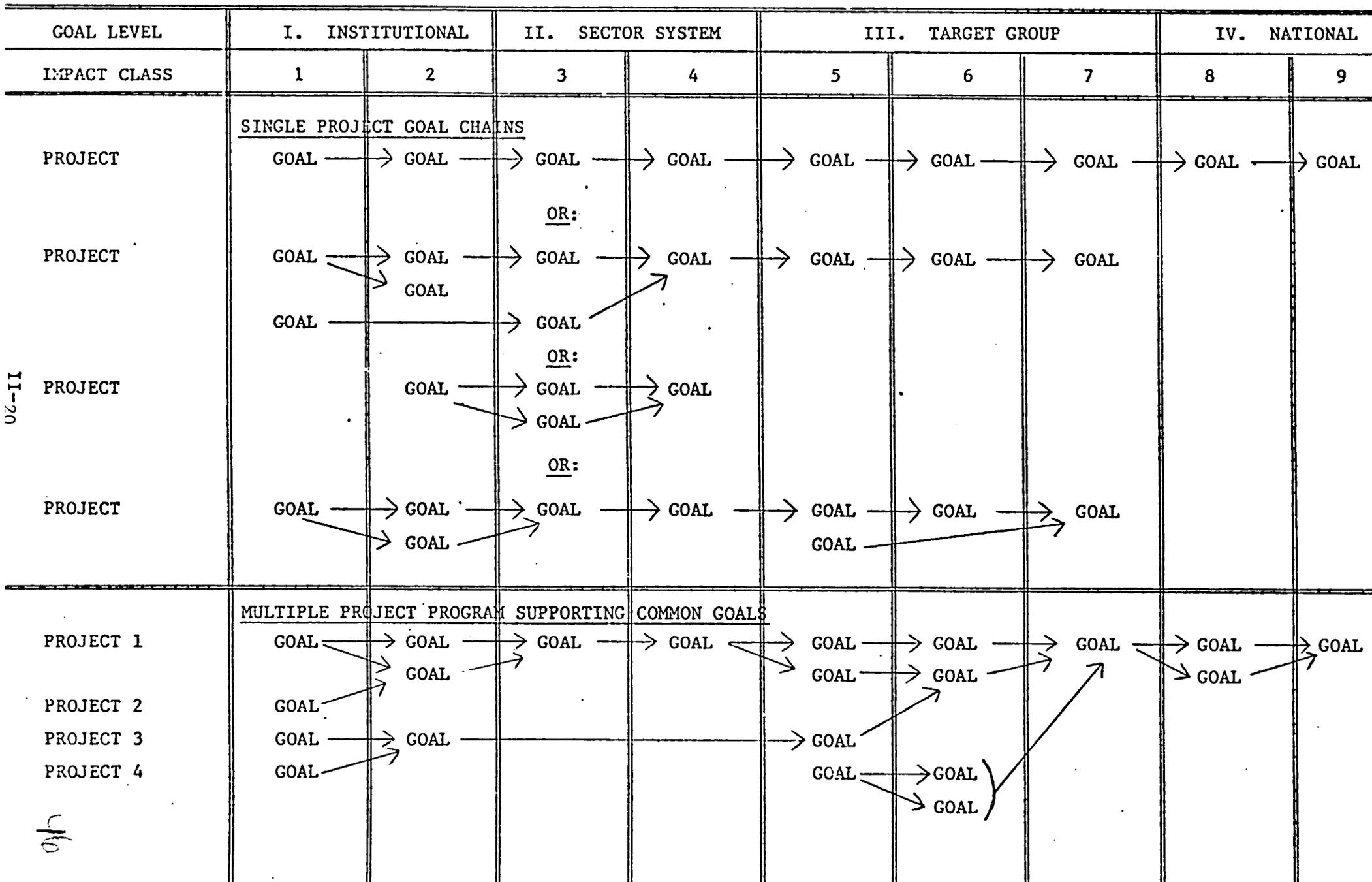
a. Type of Activity

The Evaluation Design Framework can be applied conceptually to any of the substantive areas (agriculture, education, population, health, infrastructure, etc.) in which AID operates. It can also be applied to individual, multiple, sector, and regional undertakings. We have applied it as a preliminary test to cases selected from AID/W files in each of these areas. It has also been "thought through" for AID research and capital development activities. Each type of activity has some unique features, but the basic system remains applicable.

b. Single Project, Multiple Project, Sector Programs

The system is flexible, and can be applied to a wide variety of single project and multiple project situations. Conceptually, there is no inherent problem in applying the Framework to sector programs, which are just special cases of multiple projects. We have used the instrument on individual projects with single chain goals in straightforward hierarchical succession, goal chains which diverge to contribute to several higher order goals, and goal chains which converge from lower order goals to a single major goal. Figure 6 illustrates a few of the many possible combinations of goal patterns. Three features should be noted particularly: (1) A new project may enter laterally at any point, and this is fairly common where the evaluation designer wishes to show non-AID inputs contributing to higher level goals. (2) Impacts of an activity may branch

Figure 6. EXAMPLES OF SINGLE AND MULTIPROJECT GOAL CHAINS



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out from the goal chain at any point to contribute to other higher order goals. The designer may or may not be interested in following these new goal branches to their logical conclusion. (3) Multiple projects which contribute to a single goal are treated just like individual projects, but their interrelationships are shown. Multiple projects may also contribute to two or more goals.

c. Program Design

The Goal Level Evaluation Design Framework can be used in the program identification, design and appraisal process in much the same way that the Project Level Logical Framework is currently used. That is, it provides a method for describing intended relationships between the project inputs and the intended results. The expected causal relationships are laid out at their appropriate level. The designer or appraiser can then evaluate the logic of the construct and can request unification of dubious relationships with greater precision. Its main advantage over the project level instrument as a design format is the greater specificity required in detailing intended goal level benefits and the causal relationships between the project and those higher objectives.

d. Mission Programs

It is at least theoretically possible to apply the goal level evaluation to a total mission program. Its application in practice may, however, be extremely difficult. The large number of activities and goals likely to be involved in the latter may make the approach unmanageable. Lack of knowledge as to necessary and sufficient conditions for achievement of some goals, the possibility of intrusion of a large number of unexpected and unknown factors, and the marginality of AID inputs may further limit its usefulness as a formal instrument for this purpose. It may still be practically useful as a means of conceptualizing the development hypotheses involved in formulation of the Mission's program and thus directing attention to the appropriate factors to be considered in an overall country program evaluation.

If a total country program is directed at one or two objectives, the Framework can be applied to evaluation of overall goal achievement by combining all program elements into a single Framework matrix in the same way as for multi-project or multi-sector programs. Steps involved would be as follows:

1. Identify overall goals at the highest Impact Class for which evaluation is to be attempted;
2. Group AID projects by the Goals at this level to which they are expected to contribute;
3. Identify lower level goals necessary to the accomplishment of the highest level goal by working downward through the Goal Hierarchy from the highest to the lowest appropriate goal level and by working upward from lower to higher level goals for each project;
4. Thereafter proceed as in the case of a multi-project activity.

The Framework may be applied to regional (multi-country programs) in the same way as to individual country programs. The only difference seems to be that Input Class 8 and 9 level goals become regional rather than individual country goals and desired individual country impacts tend to become Target Group level goals.

e. Non-Project Related Goal Evaluation

The Framework is designed to generate an outline of information required for evaluating project related results. However, it can be adapted to evaluation of goal achievement without regard to the inputs of particular projects. The only adjustment required is to eliminate the first column. In practice, goal chains are developed by working downward from higher to logically-related lower order goals and impact classes. Results are appraised by progressing up the chains.

9. Appraisal

As stated above, we have applied the Evaluation Design Framework to a wide variety of situations and have found it to be useful in tracing out

the relationships among AID and non-AID activities contributing to goals at different levels. The Goal Hierarchy appears to provide a fundamental (nearly universal) method for tracing the logical progression of above-the-project goals from the institutional development objectives to national societal benefits.

In the process of developing and testing the framework, we have noted a number of limitations as well as advantages:

a. Advantages

1. The Evaluation Framework permits the use of a universal model and a single type of instrument as the basis for evaluation of all types of activities directed at national goals.
2. By requiring a logical ordering of results by stages of progress and level of expected impacts, it permits staged appraisal of achievement.
3. It provides the basis for a data recording and an evaluation reporting system.
4. It provides some basis for judgmental evaluation of the relation of AID inputs to results, especially at lower order Goal Levels.
5. While not developed as an instrument for use in project design, it does in fact provide a logic for that design and a basis for appraisal of the adequacy of the design, that is, whether levels of expected impacts are logically related and whether all necessary and significant inputs to goal achievement have been considered. It permits the derivation of lower order goals and impacts from higher order goals by working down the hierarchy and the build-up from lower to higher order impacts by proceeding up the hierarchy.

b. Limitations

1. There are some problems of terminology, or semantics, especially in connection with the meaning of "goal" and with designation of goal levels and impact classes. There is some difficulty at times in distinguishing between goals and indicators.

2. Uncertainty and lack of consistency may arise from time to time in determining the assignment of a goal to an impact class. Preliminary testing indicates, however, that as long as an appropriate sequential order is preserved, assignment to one higher or one lower Impact Class makes little practical difference.
3. The Impact Classes do not provide for all possible steps in a progression, so it will occasionally be necessary to include somewhat different impacts within the same class.
4. The model is useful in suggesting deficiencies in project design, but it does not provide a basis for identifying the causes of shortfalls in achievement. In evaluation it can indicate the occurrence of shortfalls but will not identify the reasons. Although inspection may suggest possible causes, further analysis or research will probably be needed.
5. It provides for appraisal of the criticality of AID inputs to results at higher Goal Levels only on the basis of proportionality of inputs and the logic of the input/output relationship involved. It provides no basis for quantifying the extent to which the results were related to AID inputs. Given the state-of-the-art of evaluation, the multiplicity of forces bearing on achievement of higher order goals, lack of knowledge of cause and effect relationships in the area of economic and social development, the limited availability and general unreliability of data, and the time required for definitive results to become apparent, we are convinced that an attempt to insist on using the system at this time for attribution through quantified cause and effect relationships would be counterproductive. After the system has been thoroughly developed and in operation for some time it may become possible to associate inputs and results more confidently on the basis of empirically demonstrated relationships.
6. Pushed to its logical extremes without the exercise of considerable common sense and judgment in its use, the Framework could become extremely unwieldy.
7. It does not specifically address the question of choice among alternative means of achieving goals but will contribute to better understanding of the alternatives.

CHAPTER III

GOALS AND THEIR MEASUREMENT

Both goal level and project level evaluations are concerned with three successive functions: (1) measurement of change in an indicator, (2) assessment of the significance of the change, and (3) attribution, or finding the causes of change. Evaluation at the goal level is complicated by the multiple activities and conditions which impinge on goal achievement, and this may limit the precision of the process.

The accuracy of goal level evaluation depends upon the care with which goals are selected and stated, the indicators which are used, and the methods used to measure and record change. The methods whereby goals to be evaluated are selected and stated become a threshold value of the goal level evaluation system.

A. U.S. OR HOST COUNTRY GOALS?

AID legislation, U.S. domestic and foreign policy, and AID's development philosophy contribute to the establishment of certain priorities or lines of endeavor which either take the form of objectives or can be written as such. The force of these statutory criteria and policies requires that AID have its own development goals which it expects will be advanced by provision of its assistance. Host countries also have goals which may or may not be consistent with AID objectives.

Host country goals, whether quantified in a national development plan or stated more inspirationally by a national leader, are political instruments. They are seldom stated with sufficient clarity or targeted with the precision required for rigorous evaluation. Taken together, they represent aspirations which may be pursued with different degrees of proficiency and enthusiasm. Taken individually, they are frequently contradictory and/or represent different levels in a hierarchy of goals.

AID Missions generally seize on an authoritative statement by the government as the basis for the goal which an AID project is designed to support. The Mission may restate this goal for greater clarity, but is usually reluctant to define the targets in more precise terms than those used by the host government unless the AID project is controlling. It is not uncommon for the Mission to use without comment a national goal statement which includes an unreachable target. Missions rarely place the goal in the context of its priority relative to other, possibly conflicting goals, nor do they normally explain with any precision the process whereby the project purpose will help to achieve the national goal. Similarly, they very rarely analyze host country goals in relation to AID objectives, identifying points and areas of conformity or conflict. Instead, they appear to proceed on the implicit assumption that not only are the host country goals internally consistent but that these goals and AID objectives are entirely consistent.

Our examination of statements of host country goals as contained in country plans and various AID documents and our experience in evaluation of many AID projects convinces us that this assumption is not entirely valid. A question then arises as to how AID is to proceed with evaluation of goal achievement and whether evaluation is to be in terms of AID or host country goals.

In conducting this study and making our recommendations, we have proceeded on the assumption that the AID decision making process should involve the reconciliation of AID and host country goals. Such a reconciliation may be accomplished by:

- Selecting host country goals for support which are entirely compatible with AID objectives.
- Deriving lower order goals for support which are consistent with U.S. objectives and compatible with higher order host country goals, e.g., fostering production by a small farmer target group in support of a host country's national production goal.

- Establishing as an AID goal the objective of creating or modifying a national goal which would be more consistent with AID objectives.
- Seeking an exception or otherwise modifying the AID goal.

We have assumed that out of such a process AID will arrive at goals which are derived from and compatible with host country goals. It is the achievement of these goals which we believe should be evaluated rather than host country goals per se. This position is based on our understanding that the basic purpose of an AID goal level evaluation system is primarily to serve AID purposes of refining its objectives, clarifying its hypotheses, deciding what kind of programs to support, and providing information to support its operations.

B. THE ROLE OF THE DAP IN GOAL DEFINITION

The Development Assistance Program (DAP) analysis is believed to be the most appropriate stage for reconciling AID and host country objectives and stating AID goals for program development and eventual evaluation.

The DAP is the analytic document which defines the long-term development interest of AID in a given country and provides the backdrop for any Mission activity. The DAP usually includes an analysis of the current national development plan and related documents, as well as an analysis of development constraints as identified by the government, AID, and other donors. After consideration of other aspects of the U.S. interest, the resources available from other donors and the probable level of support available from U.S. sources, it defines those aspects of the plan which it can support to relieve the most important constraints. The DAP then proposes the types of activities which will become the instrument of the U.S. AID program to execute the U.S. development interest.

The DAP, as the document in which host country and U.S. interests are reconciled, should be able to restate with as much precision as required the goals derived from or related to host country goals which the AID program is expected to support. They will thus be AID goals but derived from or related to host country goals. That is, they will

be based on host country aspirations,* but defined in ways which reconcile conflicts, and conform with AID objectives and have targets which are believed to be attainable.

The DAP process can make an important contribution to the evaluation process by defining the basic goals, setting forth the development hypotheses used, and describing the conditions deemed necessary for goal achievement. Precision in the definition of goals, completeness and accuracy of assumptions about the conditions and relationships which will prevail in the future, and the reconciliation of host country and U.S. interests will also strengthen the planning of projects to meet these goals.

If the DAP formulation and review process is to establish the goals which serve as the basis for project design and goal level evaluation, this requirement must be specifically established. We have not made an exhaustive examination of a wide range of DAPs, but those which we examined in general lacked the precision needed for rigorous program design and evaluation.

As indicated earlier, it appears to us that few DAPs analyze with specificity the relationships between host country and AID objectives and then synthesize from the analysis specific AID program goals which are consistent with both. Neither are the goals which appear in the DAPs enunciated so that they may serve without modification or interpretation as the basis for project design or for the evaluation of goal achievement. Although it may be possible for an evaluator to derive from the DAP a goal statement which could provide a basis for evaluation, the process would be greatly facilitated and the results would be more useful if these goals had been formulated more precisely in the DAP.

*This assumes that host country aspirations are sufficiently compatible with AID objectives to warrant support.

We believe that the Goal Hierarchy could provide a useful model for defining goals and their interrelationships, identifying intended beneficiaries, and relating overall programs to goals. Its use would be of particular help in deriving lower level goals from and relating them to broader national goals.

Since the DAP process is designed to provide the basis for choosing goals, assistance strategies, and progress categories for particular countries, goal level evaluation should inform the DAP analysis process by appraisals of:

1. The extent of achievement of goals
2. Associations between overall AID programs and goal achievement and needed changes in program emphasis or direction
3. The validity of the AID objectives and the need for their modification

Evaluation inputs into the DAP process should thus be derived primarily from the evaluation process as a whole rather than from the results of individual project evaluation. It is desirable to relate individual evaluations to specific AID projects, but for purposes of the DAP process, evaluation of goal achievement without regard to contributions of individual projects would be helpful and appropriate.

Goal level evaluations would be particularly useful to the DAP analysis if they were based on the measurement of achievement of goals at different levels in the Hierarchy without initial regard to the contributions of individual projects. Such evaluations would establish the fact of change in indicators and where that change was occurring and might suggest the desirability of a different program mix.

C. STANDARDIZATION OF GOAL STATEMENTS AND ACHIEVEMENT INDICATORS

Effective goal level evaluation is formally dependent upon the ability of the designer to state a hypothesis about what the project was expected to achieve, i.e., to describe the project objective in a form

which permits evaluation by the testing of the hypothesis. The initial test of the hypothesis is accomplished by measuring achievement of changes in indicators associated with the goal.

A number of the limitations listed in the previous chapter lead to difficulty in stating goals and identifying indicators of their achievement. The lack of generally accepted developmental theories leads to problems of defining hypotheses and postulating the results which are to be expected, with the consequent difficulty of determining precisely what is to be measured. The undeveloped state of the art of evaluation gives rise to conceptual and methodological problems. The great number and variety of types of programs carried on suggests the need for an almost endless number of indicators. The time span required to achieve impact and consequent limitations of availability and reliability of data may make it difficult to use direct indicators of ultimate goal achievement. AID's inability to control host country data gathering, reporting, and evaluation inhibit freedom to obtain information and further limit the quantity and quality of indicator data. Existing work loads and staff capabilities also limit the development and use of indicators of results which require large scale data gathering and complicated methodologies.

One way of dealing with this problem is to establish goals which are sequentially related, with indicators which are to a significant degree inherent to each level. If what one wants to accomplish is clearly specified, and if that is further disaggregated into discrete elements, it becomes much easier to develop indicators which can be used to measure what occurred.

The Goal Hierarchy offers an opportunity for classifying the large numbers and variety of beyond-the-project objectives into sequential classes which are common to major types of AID projects and into types of impacts which are characteristic of each class. These classifications, even if carried no further, can help project designers to describe goals in specific terms which permit development of indicators of achievement. If, in addition, it is possible to describe types of goals which are common to each impact class, the problem of formulation of both goals and achievement indicators may be further simplified.

Examination of AID files suggests that goals at lower levels in the hierarchy (the Institutional and Sector System levels) tend to fall into readily identifiable common types. For example, we have identified six common types of goals in Impact Classes 1 (Institutional Support) and 3 (System Support). There appear to be five common goal types in Classes 2 (Institutional Outputs) and 4 (Sector System Outputs) and perhaps three common goal types in Impact Class 5 (Target Group Activities).

Goal Types Characteristic of:

Institutional Support (Impact Class 1) and Sector System Support (Impact Class 3)

1. Increases in resource availabilities
2. Changes in purposes, functions, or activities
3. Changes in structure (and in relationships at Class 3)
4. Expansion of capacity
5. Changes in procedures and practices
6. Improved quality of inputs

Institutional Outputs (Impact Class 2) and Sector System Outputs (Impact Class 4)

1. Changes in the nature of outputs
2. Increase in the quantity of outputs
3. Improved quality of outputs
4. Improved internal efficiency

Target Group Activity (Impact Class 5)

1. Increase in the quantity of services or products used
2. Change in practices or activities
3. Increased knowledge or skills

We suggest that AID make an intensive effort to develop both goal statements and achievement indicators to be used as guides to project designers and evaluators. The objective should be to define common classes and types of goals and indicators which can be "tailored" to provide the specific goals and indicators for individual projects. Such a

program could build on work already done by the central Evaluation Office in PPC and by the geographic Bureaus, especially the Latin American Bureau, which has developed a list of some 1,000 indicators, about 700 of which have been classified and coded to about 70 substantive areas.

Statements of goals should be developed for and classified by substantive area, Goal Level, and Impact Class. As arrays of goal statements are developed they should be analyzed to determine whether they fall into types which are common to the various goal levels for each substantive area and whether there are goals which are common to different substantive areas.

It should then be possible to derive types of indicators from the goal statements. Indicators associated with substantive areas could then be associated with each type of indicator and with each impact class.

The "first cut" analysis might show classification of goals and indicators somewhat as follows:

<u>Goals</u>	<u>Indicators</u>
Substantive Area: Agriculture	Substantive Area: Agriculture
Goal Level: Target Group	Goal Level: Target Group
Impact Class: TG Activity Output	Impact Class: TG Activity Output
Type: (A) Production increase	Type: (A)(1) Yield per hectare
(B) Quality improvement	(2) Yield per farm
(C) Waste reduction	(3) Total yield of target group
(D) ...	(B)(1)(2)(3)...
	(C)(1)(2)(3)...

Should further analysis show that some types of goals are common to several substantive areas, it might be possible to reduce or eliminate the number of separate substantive area categories. The discovery of such common goal types, expressed in individual projects in substantive area terms, might also permit the derivation of common types of associated indicators, also specifiable in substantive area terms.

D. SIGNIFICANCE

As characteristic goal types and associated indicators are identified, the indicators should be refined to permit conclusions about both what happened (or is happening) and the significance of what happened. It is not enough just to measure what levels have been reached, or the absolute level of change. The evaluator is interested in the significance of these changes, and this means adding other dimensions which permit comparison and establish the relative importance of the change. Examples of these dimensions include: (1) the relative size of change expressed as a percentage of the base period; (2) the velocity of change expressed as change per unit of time and then refined to relative velocity by comparing prior and subsequent time trends; (3) the benefit incidence, expressed as the sized distribution of benefits among a population; (4) the cost effectiveness, expressed as benefits per unit of resource.

Indicators which, with appropriate analysis, help determine the significance of events (results), are particularly important for comparison among projects, and over time will help determine causal relationships and improve the confidence with which evaluators may attribute results to particular activities. Even before causality can be determined, tests of significance may demonstrate that impacts were either unimportant, or too costly to continue. Or they may show that the returns were so great and so closely related to a specific event that causality is almost certain.

E. PROBLEMS OF GOAL LEVEL ATTRIBUTION

In the following discussion, the reader must keep clearly in mind the distinction between measurement and attribution. Measurement is the evaluation process through which one determines to what extent objectives of an activity were met. Attribution is the process which ascribes attainment of those objectives to the project. Measurement determines change in an indicator. Attribution establishes the cause of that change. The measurement of change in indicators in an evaluation does not automatically establish cause and effect relationships. At best, the measurement process suggests an association between some level of activity and

some change in an indicator. The fact that these associations are evident does not establish which caused which, or even that a causal relationship exists. Two variables may be moving together in response to an external influence, to a combination of fortuitous circumstances, or by chance. The fact that one variable may be manipulated by an AID project does not alter these possibilities.

Evaluation rarely proves causality. Evaluation may suggest that a causal relationship exists. An examination of the logical basis for such a conclusion may be facilitated by inspection of the relationships postulated in the project design and the presumption that what happened was expected to occur. Still, the causal relationship is not proved until the phenomenon has been observed and measured repeatedly under conditions which permit at least statistical isolation of the critical variables.

In most project level evaluations we are not too concerned with proving causality or attribution. We anticipate that a certain result will occur, and if it occurs, we are prepared to assume that it was caused by and can be attributed to the project. Only if the result fails to occur do we seek evidence to explain the "aberration." The assumption of causality may be justified if the project design reflected correct application of cause-effect relationships established empirically or experimentally. However, when we investigate the failures thoroughly, we frequently find that our knowledge of the supposed relationships was inadequate or our understanding of the situation led to an inappropriate application of the theory. Practice has frequently demonstrated that in the area of economic and social development, assumed relationships often do not hold.

This problem becomes acute when we move to goal level evaluation. Cause and effect relationships have not been firmly established at levels beyond the project for many of the activities in which AID engages, within the highly varied conditions under which these activities are implemented. The capacity of any evaluation system to assess the contribution of AID

inputs to national level goal achievement under these conditions is questionable, particularly if attribution is defined as distinguishing the AID contribution from other influences, and not just association.

The Goal Hierarchy, like the project level Logical Framework, is an exercise in sequential logic in which an activity at one level leads logically to a happening at the succeeding level, which in turn affects a third level and so on. These steps can be stated as a series of hypotheses which can be examined logically and tested by measuring the results achieved. If the results achieved are of reasonable magnitude in the anticipated direction, the hypothesis is considered to be proved. The validity of this proof rests on the detail with which each step is described and the validity of the causal relationships and assumed conditions.

In a closely coupled sequence at the project level where inputs, outputs, and purpose are closely associated in time and space, relationships are well understood, and the project's inputs are a high percentage of the total inputs contributing to the project purpose, the cause-effect hypothesis is usually sound.

These conditions can be found, if at all, only in the lower levels of the Goal Hierarchy, and become increasingly tenuous as we move towards the National Level. There can be no presumption that the observed results are attributable to the project. There are very sound theoretical and practical limitations to the application of sequential logic to goal level attribution through evaluation:

A. Proportionality. The proportionate share of the project input and of its impacts declines exponentially through the goal hierarchy towards the National Level, (1) as other programs provide an increasing share of total inputs, (2) as project benefits are aggregated with benefits from these other programs, and (3) as project benefits are averaged among larger populations. A project which provides 30 percent of the inputs and direct benefits at the Institutional Level may account for less than 5 percent of Sector System programs and an infinitesimal share of all activities which influence target group income. A provincial project may

double production of corn by a target group which formerly produced 10 percent of the corn produced by that class of poor farmers in the province. When the project's impact is aggregated to the entire class of poor farmers in the province, the increase in production is not 100 percent but 10. Aggregated to the national level for all corn produced by the poor farmer class, the impact drops to perhaps a 1 percent increase. Aggregated with total farm production, the impact is infinitesimal.

B. Data Limitations. Attribution of highly aggregated results to a project whose proportionate contribution to those results is small requires precise quantitative techniques. Comparison of data taken at two points in time is insufficient when annual fluctuations may exceed the expected change. Under these typical circumstances, measurement must compare the baseline trend with subsequent tendencies. Unfortunately, few serial measurements are available in LDCs of such essential data as target group income, or even of target group production.

C. System Complexity. The use of sequential logic for attribution requires a precise understanding of all aspects of the system which, together with the project, impinge on the indicator. The complexity of the system with which we are dealing also increases exponentially as we move up through the Goal Hierarchy. The average project deals with only a fraction of a single subsystem at the Institutional Level, and the average sector loan covers only a fraction of the entire sector system. For example, a project to establish a fertilizer plant to produce a third of national fertilizer consumption still deals with a very limited part of the subsystem for production and distribution of productive inputs. That productive input subsystem must be joined as a minimum by subsystems for provision of technical assistance, production credit and marketing services in order to assure that production is influenced. Today, after an investment of several million dollars of very competent research in attempts to design computerized simulation models of the agricultural sector, we are still incapable of defining and interrelating the essential parts of the agricultural sector in a way which will permit meaningful comparisons of the effects of alternative policies on production, even at fairly gross levels.

D. Limitations of Development Theory. The use of sequential logic for attribution requires not only a qualitative understanding of the components of the systems with which we are dealing but knowledge of the quantitative relationships among them. These quantitative relationships are not constant, but vary from country to country and from year to year. At this point we are still developing and testing models of these relationships for use in the aforementioned computerized simulation model of the agricultural sector. These models are aimed at national production aggregates. They provide little input to understanding the motivations, risk tolerance, and production propensity of the rural poor, about whom we know even less.

We conclude that it may be possible to attribute goal accomplishment to AID-assisted activities with moderate precision only in the case of lower order goals which require a limited number of known inputs for which cause and effect relationships have been demonstrated and are well understood. In the near term, attribution must rely on considered judgment based on limited evidence and logic, at least at higher goal levels or in circumstances in which many variables, known and unknown, may influence results. This judgment will be improved by the continued improvement in our understanding of the nature, functioning, and interrelationships of systems in developing countries, and by improvements in the data base.

Attribution to AID Inputs

Attribution of impact directly to AID inputs is a difficult problem even at the project level in jointly financed and managed activities. The certainty of attribution at the project level becomes tenuous as the proportions of AID funding and management control are reduced, and this problem is exacerbated at each succeeding level in the Goal Hierarchy. Any attribution to AID should meet a test of reasonable proportions or of unique linkage.

1. Reasonable Proportions. In all but a very few projects, AID input in funding and management control is limited to something under

50 percent. Non-project inputs essential to achievement of project purpose are documented as assumptions. By pricing these influences we can gain a better idea of the total project costs not borne by AID. AID should not expect to take credit for the accomplishments of an activity unless it provides a significant portion of project inputs or can identify a unique linkage.

2. Unique Linkage. Foreign aid may have influence far beyond that which might be expected from its proportional input contributions. This kind of impact is not automatic, however. It frequently shows up in the form of discrete events, e.g., passage of a law or breaking a bottleneck, which are uniquely linked to the AID activity. However, for these to show up in an evaluation, these events must be recorded in such a way as to be recognized later as a direct result of the AID activity which would not otherwise have occurred at that time.

CHAPTER IV

THE ROLE OF EVALUATION IN AID'S DECISION MAKING PROCESS

A. THE NATURE OF DECISION MAKING

In undertaking this study of the total configuration of interrelated decisions and actions which have been characterized as planning and policy making, we did not make a distinction between the two administrative activities. One of the more basic definitions of the planning and policy making process begins by postulating that such activities are essentially involved with statements of intent that share the following common characteristics:

1. They are statements about characteristics of future events;
2. They contain either implicit or explicit sets of values stated in the forms of objectives or goals;
3. They identify processes and mechanisms for implementing the values through prescribed actions;
4. They are social and organizational phenomena (not individual) which consequently incorporate the coordination of individuals and groups, subsystems within a system and form an aggregation of social activities that are observable. (Bauer and Gergin, 1971)

Increased consciousness of the planning and policy-making process has ultimately led to the identification and study of roles and actions which are legitimated by the socialization process within an organization. The study of the planning and policy-making process assumes not only that it is possible to identify actions and processes within specified activities, but that there exist identifiable regularized patterns of organizational behavior. At a minimum, a broad outline of the elements within such processes would include the following:

1. Intellectual activities of perception, cognition, analysis and choice which are often subsumed under the rubric of "decision-making;"
2. Social processes of implementing the policies formulated within the structure of the organization, so as to develop systems for the measurement and allocation of scarce resources, systems of judging merit and systems that reward and punish;
3. Augmentation of the dynamic process of revising policies and plans in order to bring about changes in the organizational environment and resource allocation system. (Braybrook and Lindbloom, 1963.)

Planning and policy-making will include all processes which revolve around critical and strategic events and decisions. Critical events and decisions are judged by the perceived importance of the issues within their organizational context. Strategic events and decisions are those which direct an organization's scarce resources toward perceived opportunities while adapting to an ever changing environment. Excluded from decisions which fall within the category of planning and policy-making are those which are routine, repetitive and require little cognition or meditation and which have a limited scope or impact or consequence above the project level. Included are those decisions which require much diverse information and considerable judgment, i.e., critical and strategic decisions.

Such a definition may appear ambiguous due to the fact that it does not establish universal boundaries for identifying issues and decisions. This ambiguity is conscious and deliberate given the general diverse nature of organizations themselves and the people involved in observing the phenomena.

B. AID'S DECISION-MAKING PROCESS

Locating and identifying points at which decisions are made within AID is far less complicated than determining the intricacies involved in the major decisions. The points of decision are similar to those of other large, complex organizations. The Office of the Administrator announces policy guidelines; the Bureau Assistant Administrators give particular emphases or adaptation of the guidelines; the USAIDs propose assistance plans and program/projects within the framework of the guidelines and concentration of the cooperating country plans and activities; and the Bureaus and the Office of the Administrator approve, postpone or reject USAID proposals. The process is straight-forward although drawn out and time consuming because of the numerous factors involved, factors which are not necessarily unique in themselves but which are complex, often perplexing and certainly challenging to AID administrators.

The Agency's policy guidelines are issued annually in budget guidance messages and less frequently through interpretation and modification based upon experience and accumulation of knowledge and goals and priorities

established by the Congress, study commissions and AID leadership. The policy guidelines reflect congressional mandates, political and strategic concerns of other US agencies, budgeting constraints of the President and Office of Management and Budget, interests and concerns of the US economic system, AID's experience and capabilities, the capacities and plans of cooperating countries, and the interests and programs of other donors.

Plans, strategies, programs and projects are the means taken to accomplish the objectives set in the policy guidelines. The design, approval and implementation of these activities are complicated by the number of organizational units involved and the time to develop, submit and gain approval for specific courses of action; as well as, by the length of time and often larger number of organizational units needed to implement the approved activities. As pointed out above, policy guidelines are issued at least on an annual basis but it generally takes more than a year to obtain project approval and initiate action while project implementation may take several years. Redesign and reapproval will take place at specified timed intervals throughout project implementation.

The attached charts (Figures 1 through 6) outline the processes for agency policy formulation, review of proposed projects, approval of projects for inclusion in the annual Congressional Presentation, and final negotiation and implementation. It shows the critical decision points and briefly describes the types of considerations weighed by the decision makers. Although the processes charted are for projects, the decision points are the same for review and approvals of the other forms of assistance. The other forms, however, do not yet have the same or a similar type of formal evaluation system.

Figure 7a

Processes for AID: Decision Making

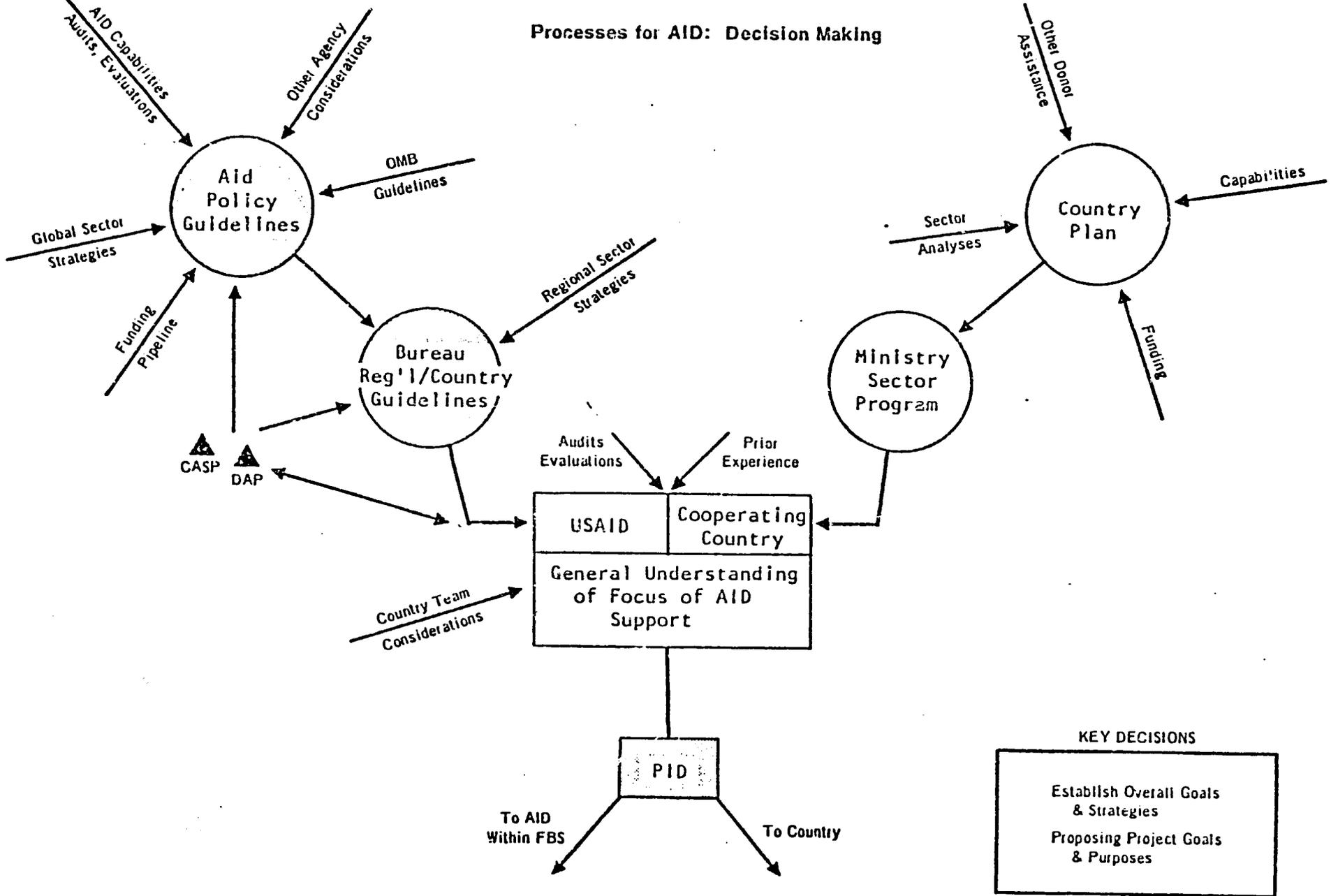
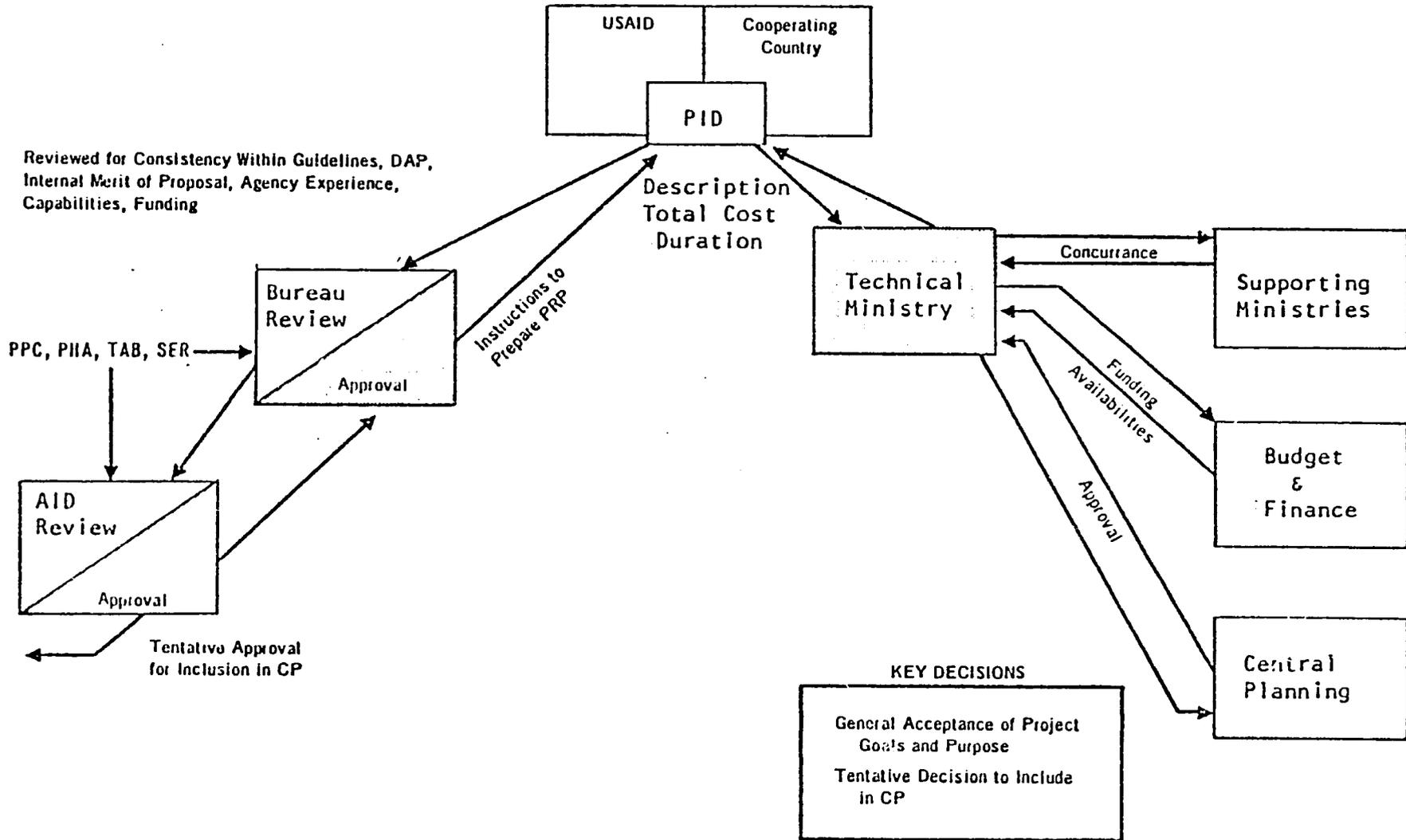


Figure 7a

Figure 7b

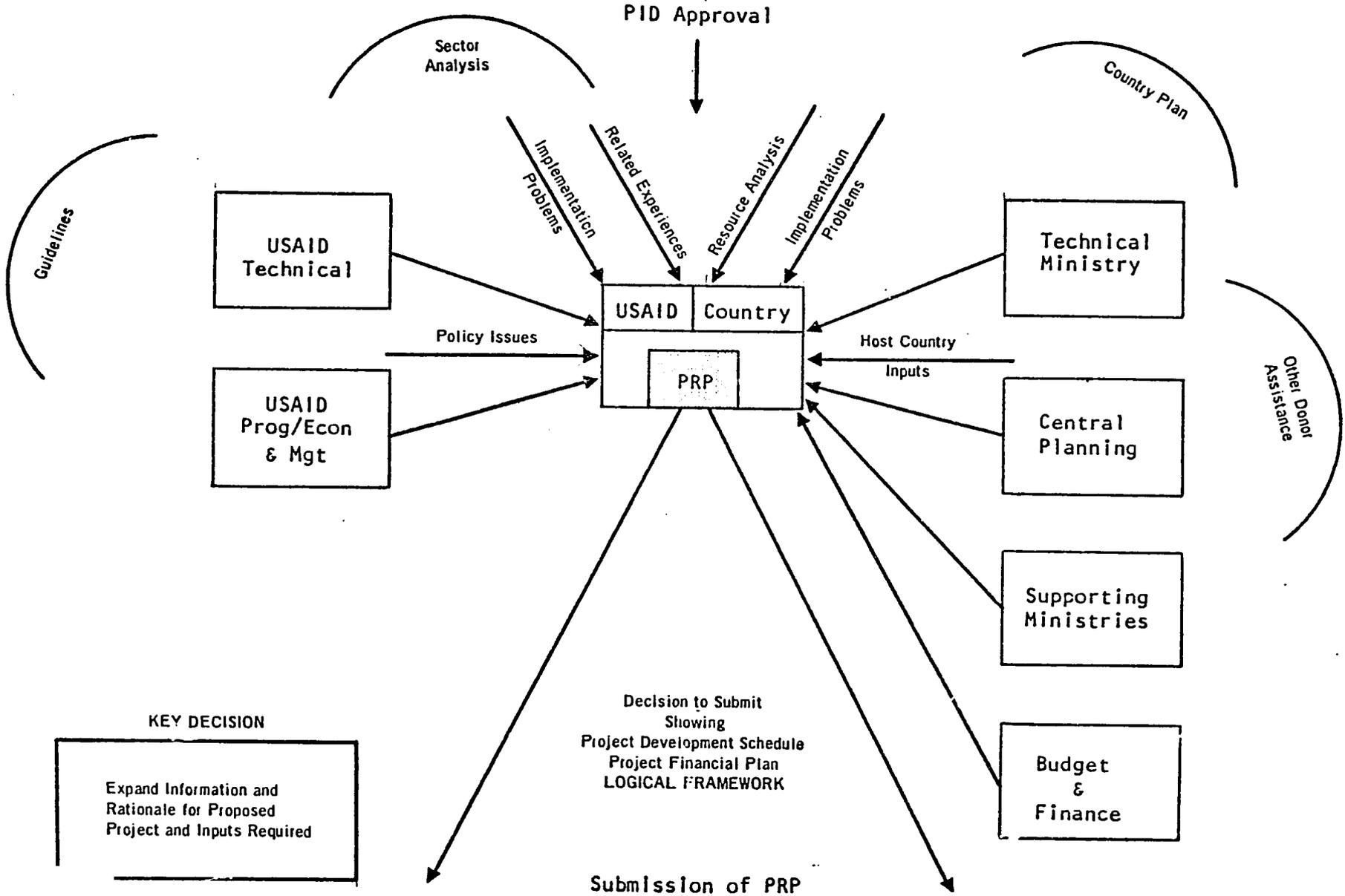


IV-5

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Figure 7b

Figure 7c



9-IV-6

06

Figure 7c

Figure 7e

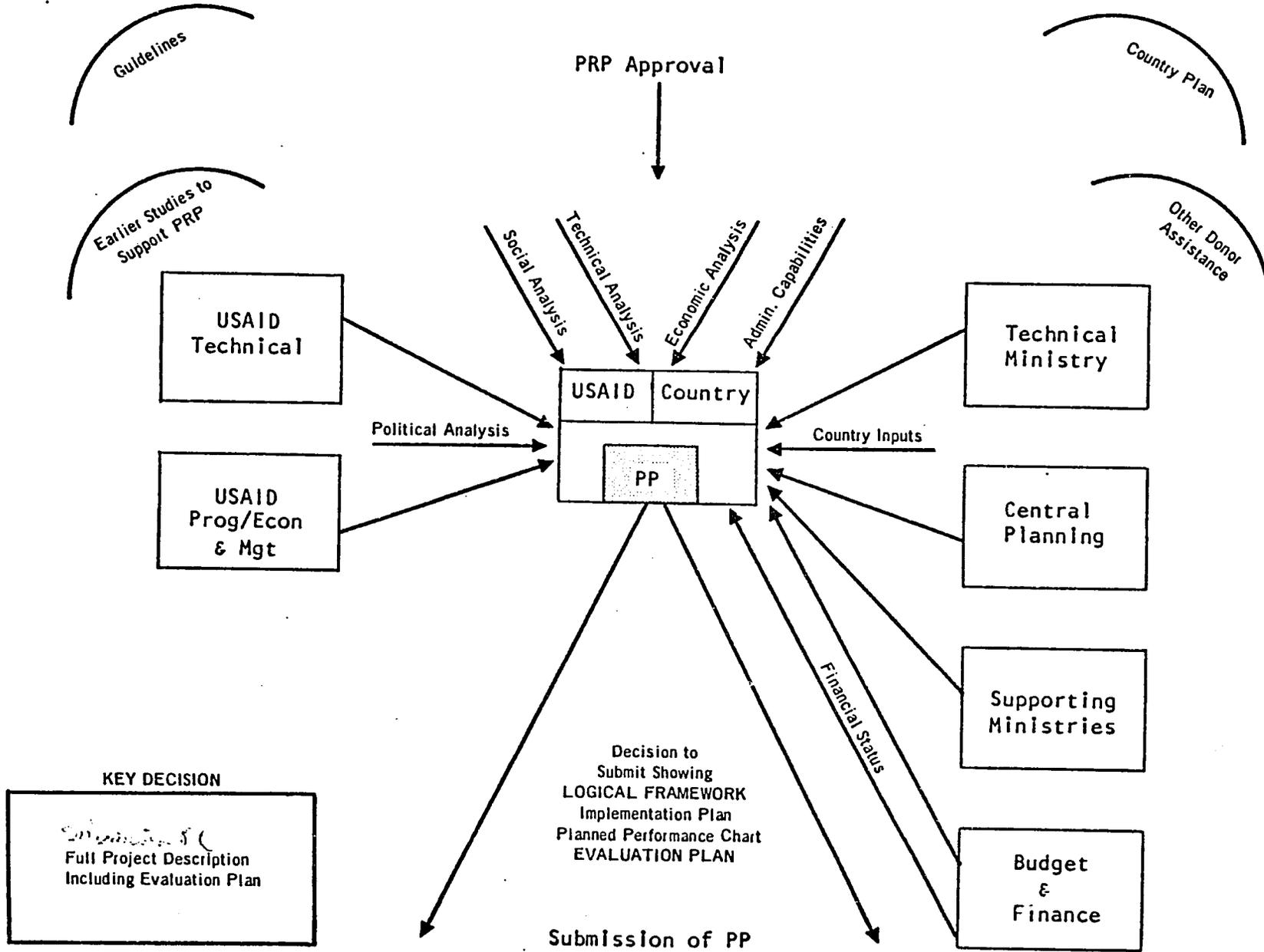


Figure 7e

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It will be noted that the key formal decision points are the Office of the Administrator (Administrator and Deputy Administrator), the Bureau Assistant Administrators (assisted in staff work by the Desk Officers and Office Directors, Program, Planning and Technical Offices), and USAID Directors (assisted by Program and Technical Officers). AID/W staff officers from PPC, TAB, PHA and SER fill a dual role, supporting line functions in the operating programs of their respective Bureaus, but interacting at the geographic Bureau and Central levels in substantive technical roles. In the former role they are responsible for the accumulation, synthesis, analysis and development of solutions to problems which are common to the entire agency.

Their knowledge of the state-of-art research in their respective substantive field and their non-line position permit them to provide effective counsel on matters about which the executive echelon is uncertain or has reason to doubt the solutions offered by various operating subordinate Staff officers are also of considerable assistance in bringing the objectives of the organization into focus and obtaining consistency of action. In addition, since such personnel circulate throughout the total agency they provide one of the most fruitful means of gathering information and securing an understanding and acceptance of policy.

C. IMPACT OF EVALUATION UPON DECISIONS

Evaluation is one of the sources of information which should impact upon the decision making process and therefore the results of evaluative undertakings are among the considerations which decision makers normally take into account. The key decisions, to which reference is made in the description of AID processes above, are outlined in the following matrix. This matrix (Figure 8a) is followed by a chart (Figure 8b) which gives a brief synopsis of the evaluation considerations which should impact on those decisions.

DECISIONS UPON WHICH EVALUATIONS BEAR

<p>AID ADMINISTRATOR</p>	<p>General Policy Guidelines</p>	<p>Global Sector Strategies</p>	<p>Annual Policy Guidelines</p>	<p>Approval of DAP. Approval of annual Congressional presentation (CP)</p>		<p>Approval of projects, loans and non-project activities above set levels.</p>	<p>Reviewing overall synthesis and information</p>	
	<p>BUREAU ASSISTANT ADMINISTRATOR</p>	<p>Regional and Country Guidelines</p>	<p>Regional emphasis on sector strategies</p>	<p>Regional and Country Guidelines</p>	<p>Approval of DAP. Recommend/approval of content of annual CP and of project proposals</p>		<p>Approval of projects, loans and non-project activities up to set level. Recommendations to AID Administrator</p>	<p>Synthesizing and reporting</p>
		<p>USAID DIRECTOR</p>	<p>Participation in preparation of CASP Preparation of DAP</p>		<p>Preparation of field budget Submission and approval of project identification document</p>		<p>Approval for submission of project review papers and project papers</p>	<p>Negotiation and signing of agreements</p>

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Figure 8a

Figure *B

Key Decisions	<u>EVALUATION IMPACT UPON DECISIONS</u>		Office Responsible for Procedure
	Evaluation Inputs	Procedures for Assuring Evaluation Inputs are in Decision-Making Process	
Policy Guidelines	Summary of experience on project and other activities	Combinations of relevant experience	PPC, Bureaus, PHA, TAB
AID overall global sector strategies regional/country			
DAP - Responsive to guidelines	Analysis of impact of combination of projects and activities upon global sector strategies	Special evaluations	A/AID, DA/AID, AA's - PPC/Eval. Bureaus
Budget Submission Proj: Identification document	Country-focused experience upon design of ongoing and new project	Review and syntehsis of reports	PPC, Bureaus, PHA, TAB
Tentative Project approval			
PRP Preparation			
Approval to include			
PP Preparation			
Approval, disapproval postpone		Audits	AG
PROAG Implementation	Reporting on Project Appraisal and evaluation plan	Management information system Project appraisal reports Project performance tracking system	PPC, °BAR. Eval., FIN USAIDS

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Evaluation is a key variable to the formulation and adjustment of policies, plans and other decision making processes within any organization. In AID, evaluation seeks to answer four basic questions which should be asked of all activities undertaken by the Agency at project, sector and country program level:

- (1) Progress: What has been happening at the area and level of the Agency interest as measured by change in magnitude or character of selected indicators?
- (2) Significance: How important are these changes to the objectives of the Agency?
- (3) Attribution: What are the causes of these changes, and how has the Agency contributed to these causes?
- (4) Efficiency: How effective and efficient were the applied methods in achieving these changes.

Answering these questions helps fulfill two distinct but equal requirements:

- (1) To determine the validity of AID actions in achieving AID goals.
- (2) To assure the reasonably objective collection and analysis of information on Agency projects and programs so that it can be utilized by policy makers, planners and managers in making program and policy decisions.

An effective evaluation system provides a means for determining the success of the Agency in pursuing the objectives stated in policy guidelines, so that lessons learned can be applied to current and future operations. If the evaluation system does not supply penetrating analyses on a timely basis then AID leadership and decision makers are inadequately supported. They are unable to provide information on the impact of AID's programs and are impaired in their ability to give re-direction. The present concern in improving the project evaluation system is necessary to demonstrate that a collection of individual projects, even if highly successful within themselves, are or are not impacting upon a global sector strategy, or that the variety of AID assistance instruments are mutually supporting. The adoption and implementation of the PBAR systems should give a broader and deeper base of data upon which project and other decisions can be made. But the Agency's total evaluation system will need to go beyond the project system.

The impact of evaluation upon key decisions can be increasingly effective as evaluative studies become more comprehensive, comparative, and timely. Reviewing similar projects in depth and over a considerable time period, including after AID's inputs have ceased, should provide better information for new decisions. Additionally, the evaluative studies quite obviously need to be undertaken in some agreed upon order of priorities with the results fed readily into the decision making process.

Decision Mapping

The primary objective of decision mapping is to discern where decision points are located in the total process of decision making; the types of decisions which are made and the information components and requirements needed for these decisions, in order to identify possible weaknesses. Decision mapping undertaken in this study is directed at the key decisions made by the AID Administrator and the Deputy Administrator, the Assistant Administrators, and the USAID Directors. The key decisions, suggested by this study, have to do with the formulation and issuance of policy guidelines and global sector strategies, the setting of goals and objectives and the means to accomplish the objectives through projects and other types of assistance, the approval of projects and non-project activities, and the negotiation and agreement to carry out the projects and activities. These elements provide the basis of the simplified process flow chart (Figure 9).

On this flow chart, we have superimposed the flow of the evaluation process, as it currently exists, with what we believe to be probable near term modifications.

The flow chart attempts to show how AID's policy and planning processes occur and the impact and feedback of the evaluation system into those processes. The chart flows from the development and issuance of policy guidelines and goal formulations through the development and preparation of country programs and projects, their implementation, appraisal, in-course adjustment if warranted, project completion, and reporting of results and impact. It shows both the flow of information into the Management Information System and Data Bank for further processing and direct flow of evaluation results to line and staff Bureaus.

The chart does not specifically include AID Central Office programs and projects. These types of activities could be reflected in the flow chart by substituting the words AID Technical or Backstop Office for USAID.

One area of considerable ambiguity is the integration of audit information, external and internal research, field inspections, and other studies with evaluations. In the chart, we have assigned responsibility for synthesis and analysis of evaluation results to PME, with inputs from the bureaus. This is based on the assumption that bureau staff can help interpret and validate evaluation results through their knowledge of the substantive field, empirical evidence, audits, etc. This is a two-way street, however, and we also see evaluation data and conclusions combining with other types of information in the staff bureaus to help define research needs, focus audits, and to help design goal chains, goal statements and associated indicators.

While it is imperative that an evaluation system not dominate the activities of an organization, it is equally imperative that the evaluation pervade the total management system. The evaluation system should not be so elaborate or cumbersome as to detract from program and project development and implementation. However, the results of evaluations should instruct all parts of the policy, program guidance, program design, approval and implementation processes, while the needs of evaluation should be incorporated in the same processes. For without proper evaluation neither the Congress nor AID management can be satisfied that scarce resources are being applied effectively and that objectives are being accomplished.

Another caution must be raised at this juncture: Evaluation directed at the goal level for policy guidance purposes will require the agency's management information system to provide achievement data subsequent to the termination of activities under inquiry. In order to prevent this from being a cumbersome and redundant endeavor, AID needs to give considerable thought to the types of target indicators and baseline data it wishes to

gather and generate during the planning of proposed programs and projects. In order for the agency's evaluation system to be responsive to the requirements of decision makers, the agency's management information should be cognizant of at least three major questions:

1. What type of evaluation data is to be collected?
2. How shall this data be best processed into information?
3. How can this information be utilized by decision makers within AID's policy formulation and planning processes?

Commonly, when information systems are designed, there is considerable confusion concerning what data needs to be collected, how it should be prepared for processing, stored, processed, analyzed and synthesized; so that decision makers can take appropriate action. The typical response to such a situation is to collect everything. All or most of the existing information is determined to be valuable and therefore the approach is to keep and retrieve all of it. Such an approach is too costly and cumbersome to be effective. Frequently, the end results is that the system collapses under its own weight, or costly and frequently ineffective adjustments must be made in a system which could have been properly designed in the first place.

The process of developing common types of goal statements and commonly associated types of indicators (suggested in Chapter III) will prove very useful in designing an MIS which can anticipate subsequent needs.

CHAPTER V
IMPLEMENTATION ALTERNATIVES AND PROCESSES

A. THE NEED FOR SELECTIVITY

In earlier chapters we have stated our viewpoint that a national goal oriented evaluation system based on the goal hierarchy model can be applied to virtually any type of project or program which has a coherent relationship to national goals. We find that it is a useful tool for ordering evaluation hypotheses, assembling data to test those hypotheses, and for identifying questionable relationships for review. We believe that the goal hierarchy will be useful in selecting agency evaluation priorities because of its utility in classifying and ordering agency goals. It can also help program planners to think through the implications of proposed activities.

The fact that a system can be applied to any project does not mean that it should be applied to all projects. In fact, at this point in our investigation we are already convinced that, if further testing in Phase II confirms its initial promise, the system should be applied selectively rather than universally. Cases to which it is applied should be selected because of their significance to the Agency policy planning/ program guidance process, where this evaluation input could be associated with inputs from project level evaluations, audits, inspections and research.

Selectivity, at least in the early application of the system, is essential for the following reasons:

- o The use of the model is in its infancy. Further testing will surely lead to significant modifications in the process. Selectively limited field application will help to de-bug the system, and will avoid undesirable repercussions from unforeseen problems.
- o At this point in its development, the effective application of the model requires skill in planning evaluation programs and mature judgment associated with management experience at senior decision levels. We believe that design problems can

be significantly reduced, e.g., by goal type classification, but it may be some time before an already heavily burdened staff could be expected to absorb the full intricacies of the system.

- o Many, if not most, of the goal level results of ongoing projects will occur after the project is terminated, or in another phase, and when the Mission staff involved in program conceptualization has departed. Goal level evaluation, therefore, has less utility in project management and provides less incentive for a transient staff to undertake the additional burden entailed.
- o The complexity of the development process, the variability of types of programs, conditions, sources and levels of factors which influence outcomes at the goal level, and our considerable ignorance of causal relationships among them, requires great selectivity in their study if significant progress is to be made in improving AID performance.

B. ALTERNATIVE IMPLEMENTATION SCHEMES

Three major options are available to initial adoption of a goal achievement evaluation process:

- I. Goal Focused. Progress towards achievement of a selected goal is evaluated without regard to a specific project.
- II. Project Focused -- Case Study. Project performance is evaluated in terms of its impact upon goal achievement. Evaluation is performed on ongoing or terminated projects on a case-by-case basis without a priori formal identification. Cases may be selected as part of a planned and systematic program of evaluations, or as the need arises.
- III. Project Focused -- Project Preselection. Evaluation of goal achievement is performed on a continuing basis for projects selected in the approval process, as an integral part of the overall programming and decision making processes of the Agency.

These options might be used individually or in various possible combinations. Choice among them should depend upon the purposes to be served by the evaluation process, judgment as to cost effectiveness, and practicability in terms of acceptability to and likelihood of effective implementation by AID staff.

1. Goal Focused Evaluation

In Goal Focused evaluation, the extent of goal achievement is assessed without regard to specific activities being carried on by the host country or AID, although the goals would, of course, be those which AID programs were designed to support. The evaluation is focused on determining what is occurring at the highest level goal being reviewed, and then working back down the goal chain to determine the factors influencing the occurrence.

a. Applicability

The approach could assess accomplishment at any level in the Goal Hierarchy, but the process could be used to best effect at the Target Group Benefit level and higher. This approach would be most appropriate under circumstances in which goal achievement is a function of a large number of inputs, AID inputs are small in relation to the total, and cause and effect relationships are uncertain. In such situations, the primary objective of evaluation is to learn whether planned results were occurring and to find out what unplanned effects, desirable or undesirable, were present. Such evaluations would not deal with the attribution of results to program inputs, which under the circumstances would probably be impossible. This type of evaluation could, however, provide the basis for selective in depth studies of reasons for achievement or lack of it. Goal focused evaluation might also serve as a basis for validation of goals and for undertaking the examination of basic assistance policies.

b. Effectiveness

This alternative is probably the least effective in satisfying all of the purposes desired of evaluation (see Chapter I, p. I-3). It would not necessarily indicate success or failure of AID projects, but it might indicate achievement or non-achievement of goals of types which AID commonly

assisted with an associated type of project. It might demonstrate a need to modify policies, programs or procedures without defining the nature of the needed change. Successful accomplishment of AID-assisted goals would provide convincing evidence in support of AID programs, even without specific attribution.

Goal-focused evaluations would contribute little to in-course correction of current projects, but they would be useful to the country programming process (p.III- 5). Contributions to the project design process would be limited and would come about through learning more about the factors which influence goals rather than about the impacts of projects.

Despite these limitations, this option can play a useful role in AID evaluations. It is probably the only viable approach to goal level evaluation where the AID input is too small to be significant. It is less biased than project focused evaluation, which anticipates certain results. It therefore can serve as a check on the latter. And it is particularly useful in defining possible relationships for in-depth research on causality.

Goal focused evaluation is not directly and formally related to the project level evaluation system. Since it does not anticipate results, it does not provide the basis for a reporting system, but uses any data which may be available. Individual evaluations can be conducted as part of a systematic plan, or as the need arises.

c. Cost Factors

Costs are entirely controllable from year to year, with the amount determined by the number of evaluations to be conducted and their intensity. It adds no burden to the project formulation and approval process. Evaluations would involve the Mission staff, but the bulk of the work would be performed by specialized staff or consultants.

2. Project Focused Evaluation

The second and third options are both project focused goal achievement systems, rather than being focused solely on the goal. The difference between them is that in the Case Study system, projects to be evaluated are

selected after they are in operation and have become adjusted to their environment, while in the Preselection system, projects are selected for evaluation at the project approval stage. This difference in selection leads to significant differences in other characteristics.

a. Case Study System

i. Applicability. Case study evaluations are applicable to the evaluation of achievement of goals at any level of the hierarchy which are realistically related to the project being evaluated. This approach can be applied to either current or completed projects including comparisons among projects of similar types. Case study evaluations can be undertaken as parts of a planned and systematic evaluation program, or as needs become apparent. The system is particularly applicable to a "backward look" at the lessons of experience in trying to chart the future. Most of AID's special comparative evaluations, including the Spring Review, are of this type, but are not usually oriented to goal level analysis.

ii. Effectiveness. The Case Study option conforms well to the purposes of goal achievement evaluation set forth in Chapter I. It can help AID to identify successful program types, provide a basis for the revision of policies and objectives, and supply evidence as to program results. Depending on when evaluations were conducted, it could provide some basis for in-course adjustments in existing projects. It would not, however, provide a regular and continuing basis for such adjustments.

Under a planned approach, it could help establish priorities for evaluation of goal achievement in areas of primary concern to AID. Since it provides for case by case in-depth evaluation, it would make possible examination of causes of success or failure and of the specific relation of projects to results. If and as patterns of association between types of projects emerged, it would provide a basis for reconsideration of program content and for validation of goals. It could provide inputs into the policy making and programming process and, to much less degree, into the project design and approval process.

Since it is project focused, the Case Study system ties in directly with the project level evaluation system. It would use any data generated under that system, but it would not provide for any routine collection and recording of goal achievement indicator data. Evaluations conducted under this system would thus suffer from fewer and less accurate data than under a system based on continuous reporting of indicators of progress towards achievement of goals established in advance. On the other hand, this type of evaluation is traditionally made in some depth, is less bound by preconceived definitions of "success," and is more apt to generate information on the occurrence of unanticipated results.

iii. Cost Factors. Costs under this option would be directly controllable. As much could be invested in evaluation as was considered necessary in any given time period. The burden on the project design and approval process would be much less than would an approach requiring development of a goal achievement evaluation plan as a condition for project approval.* As a result, it would have less influence on project design, the clear articulation of goals and their sequential relationships, and the development of data for evaluation purposes.

b. Preselected Project Evaluation System

The third option -- preselection -- involves a process under which evaluations are made on the basis of regular, periodic reporting on individual projects as an integral part of the total PBAR system. It is, in effect, an extension of the basic procedures of the project level evaluation process. A number of variations in coverage are possible. It could be made applicable to all goal related projects, or projects could be selected by type, by substantive area, by country, or because of the significance of the individual project. The Preselected project evaluation system is based on a full Goal Level Evaluation Design Framework prepared at the project design phase of the decision making process.

* In the pure form of the case study option the Evaluation Framework would be prepared for each project to be evaluated only at the time the decision is made to evaluate the project.

i. Applicability. Like the Case Study system, preselected project evaluations are applicable to the evaluation of achievement of goals at any level of the hierarchy to which the project being evaluated is realistically related. By definition, it is applied to current projects which will be evaluated throughout their implementation and will continue to be evaluated after AID assistance terminates. Its special advantage is that a full evaluation design is prepared and approved at the project approval stage, including all goal statements and indicators, and provision is made for data recording during implementation and subsequent to termination. It will thus have more impact on project design than the other two options, and evaluations will be blessed with more consistent data.

The principal limitations to the Preselection system are (1) its formalism, which may lead to bias or to irrelevant conclusions; (2) the burden which it places on the project design and approval process; and (3) inadequate provision for shifting concerns of AID or the host country, or for changing conditions.

ii. Effectiveness. The Preselection System could be made to service all the goal level evaluation purposes set forth in Chapter I. However, more analysis and synthesis of multiple individual evaluation reports would be required to provide a generalizable learning experience than would be required under the Case Study option where comparison is built into the cases. Preselection of projects could provide an ideally patterned array of project types, more closely approximating an experimental design. While the contribution of any goal level evaluation to in-course modification of ongoing projects is likely to be marginal, this option would make the greatest contribution to this purpose. It would provide for a more standardized methodology and possibly more comparability of results from evaluation to evaluation. Conversely, it might result in a more routinized, mechanistic, and less imaginative approach.

Evaluation of preselected projects would not provide reasons for lack of success but would flag the fact, and could provide the basis for conclusions as to common associations between projects and results. To be fully

effective, such evaluations would need to be supplemented by in-depth examinations of these associations. While it would provide some basis for attribution of results to projects, Case Study evaluations would probably provide a better basis for such conclusions.

iii. Cost Factors. The cost of the approach would be subject to control through initial decisions on the extent of basic coverage and the extent to which project evaluations were to be supplemented by special in-depth study. Once started, costs could not be easily adjusted on a year to year basis. There would also be a basic underlying reporting cost not involved in the first two options.

Adoption, on a widespread basis, would place a considerable burden on the project development and approval process and might generate more bureaucratic resistance.

3. Combinations

These options are not mutually exclusive and various combinations are possible, ranging from widespread and intensive use of all three to highly selective use of one supplemented by minimum use of one of the others. Each of these options has desirable qualities for application at particular points in the PBAR process. The Goal Focused option is especially appropriate for developing information for improving the DAP. The Project Focused - Case Study option can be used most selectively to develop information for program justification and guidance. We are biased towards this option in the initial stages because its application is inherently selective and because any near term goal level evaluation will necessarily be of this type.

The Project Focused - Preselection option is clearly the most useful for introducing the Goal Hierarchy as a project conceptualization and planning instrument and for establishing a basis for a regularized reporting system. On the other hand, we tend to be skeptical that future AID evaluation needs can be anticipated with the accuracy implied by the adoption of this option.

C. PROCESSES

The AID processes involved in these options are outlined below. There is a similarity among the processes involved in all the options but some involve elements not included in others. Since the Preselection system is the most formally process-oriented of all the options, it is set forth in detail with process involved in other options discussed in terms of differences from it.

1. Pre-Planning for Evaluation

The Evaluation Offices in PPC and each operating bureau prepare an evaluation plan which identifies the types of projects and the countries to which the evaluation process is to be applied. That plan should also identify types of goals to be involved in the evaluations and, if known, the specific project.

2. Project Design

After development of the evaluation plans, each PID and PRP for all projects which meet the preselection criteria will identify goals through the highest level in the Goal Hierarchy which are to be supported by the assistance proposed. It is desirable but not necessary that the goals be broken down by Impact Class at this stage. Decision to include a project in the evaluation system should preferably be made at the time of approval of the PID, and no later than approval of the PRP.

3. Evaluation Design

Each PP for projects to be evaluated should be accompanied by an Evaluation Plan which should include (1) a fully completed Goal Level Evaluation Design Framework and (2) a proposed progress reporting schedule.

Project agreements should contain provision for the reporting and evaluation by the host country necessary to the operation of the Evaluation Plan. In the event that negotiations with the host country result in significant changes in project scope and goals, a revised Evaluation Framework and Evaluation Plan should be prepared.

4. Evaluation During Implementation

As project implementation proceeds, periodic evaluation reports should be prepared by the project officer in the Evaluation Framework matrix form, supplemented by an analytical discussion of reasons for lack of achievement. This discussion should deal particularly with those elements essential to success which are not identified in the Evaluation Framework. The first evaluation report for a project should be prepared one year after satisfaction of conditions precedent to the first disbursement. Subsequent reports should be prepared annually thereafter. Copies should be sent to the project officer and the evaluation officer in the operating bureau, and to the central AID evaluation office.

DAPs should contain a discussion of program results as recorded by the evaluation system and an analysis of the relation of program selection, content, and emphasis to such results.

Each request for additional funding or for change in the scope or goals of an existing project included in the process should be accomplished by a copy of the most recent Evaluation Report.

5. Post Project Evaluation

Periodic evaluations after project assistance has been terminated should be made by special teams appointed by AID/W, with cooperation of the host country.

6. Evaluation Analysis

Regional Program Offices should analyze Evaluation Reports to develop regional policy and program guidelines based on documented experience. The Central Evaluation Office should use the Evaluation Reports for similar agency wide purposes and for informing regional bureaus of agency wide experience. This information should be synthesized by the Central Evaluation Office into recommendations for policy and program redirection for decision by the Administrator. Analysis of reports in the operating bureaus and the Central Evaluation Office should also be used to provide inputs into the formulation of subsequent evaluation plans.

The process under the first option (Goal Focused Evaluation System) would include development of an evaluation plan that would be entirely goal and country oriented. There would be no project design, no evaluation during implementation and no in-course reporting. Evaluation would be performed by special AID/W appointed teams. Copies of evaluation reports would be provided to the same Regional and Central offices. The results of analysis and synthesis would be fed into the agency policy making process and incorporated in the DAP. Such results would not directly enter into project formulation and review processes.

Under the second alternative (Case Study, Project Focused System), an evaluation plan similar to that under Option 3 (Preselection, Project Focused System), would be prepared. Goals, types of projects, and countries to be included would be identified, priorities for various case studies would be established, and budgets for the conduct of the evaluations would be prepared. Project design is not affected and evaluation design is not included in the project approval process, but the Evaluation Framework is prepared as a guide to in-depth evaluations to be conducted. Copies of individual evaluation reports would be submitted to the same offices which would receive regular formal reports under the Preselection Option. Central analysis and synthesis would be done as under the third option except that, since projects for evaluation were selected for this purpose, it might be possible to reach better conclusions on the relationship between goal accomplishment and projects. The overall results of analysis and synthesis would enter the policy making system in the same manner as under the other option.

D. LOCUS OF RESPONSIBILITY

Goal achievement evaluation will be related conceptually to the project level evaluation system, and will draw from and contribute to that process. The two systems will be quite distinct in their execution, however, and in the locus of responsibility for their management.

For example, primary responsibility for execution of project level evaluation rests with the Mission. The responsibilities of the Central and Bureau Evaluation Offices are to instruct, approve and advise, and to provide special evaluation assistance when requested by the Mission. In addition, AID/W offices undertake special evaluations from time to time for the purpose of comparing approaches or results across country lines.

Goal level evaluations will be quite different. Most of the progress to be expected at the goal level will occur after project assistance has been terminated, or after a new phase has been started. Project personnel will have transferred, or will be concerned with the newer activity. Most goal level evaluation is complex, time consuming, and professionally demanding. We do not anticipate that Mission staffs, already burdened with project design, monitoring and evaluation requirements, will be able to perform such evaluations without outside help.

For these and other reasons, we believe that responsibility for goal level evaluation will have to be in AID/W rather than in the field. The AID/W responsibility should be coordinative, however, rather than centralized: goal level evaluation requires the intervention of staff from diverse bureaus as data gatherers, evaluators, analyzers and synthesizers, and end users for program guidance, design and approval.

We are particularly concerned with involvement of AID/W staff offices and regional bureaus in the analysis-synthesis-conclusion process. Specialized geographic and professional insights are needed to interpret findings and draw operable conclusions. Phase II of this study will concentrate on alternatives for improving this process.

CHAPTER VI

TENTATIVE CONCLUSIONS ON FEASIBILITY AND NEXT STEPS

A. FEASIBILITY AND LIMITATIONS OF GOAL LEVEL EVALUATION

In the first phase of this study of extension of the evaluation process beyond the project purpose level we have developed a goal achievement evaluation model based on a natural hierarchy of goals and included impact classes. This model has been tested successfully on a limited basis in its application to a wide variety of types of projects selected from AID files, including projects from various substantive areas, multiple project programs and regional projects. We have proceeded far enough in the design of an Evaluation Design Framework and related instruments to prove the feasibility of their development. In essence, we conclude that goal level evaluation per se is a feasible and desirable undertaking.

While we are convinced of the utility of goal level evaluation under certain circumstances, and believe that limited goal level evaluation could begin at once, we feel at this time that further research and development is indicated. Conditions and circumstances internal and external to AID make it unwise and impractical to attempt to develop and install at this time a full-fledged project-goal related evaluation system designed to serve many purposes, directed at all goal levels, embodying the use of sophisticated techniques, and involving the use of fully validated methodology.

What is needed is the initiation of a progressive process of goal level evaluation which (1) will provide AID with analyzed experience which permits empirically and logically supportable conclusions as to (a) progress toward or accomplishment of goal achievement, (b) the commonality of associations between assistance and results, (c) the rationality of such associations, and (d) the validity of the chosen goals; (2) introduces such conclusions into policy formulation and program and project development and approval processes; and (3) provides for modification and extension of the goal evaluation process itself, based on research and experience acquired in its implementation.

B. DESIRABLE CHARACTERISTICS OF IMPLEMENTATION PROGRAM

Under such an approach the initial effort should be experimental in nature and limited in scope. It should be highly selective in terms of:

1. Purposes to be served
2. Substantive areas, projects and countries to be included
3. The complexity and sophistication of techniques to be employed
4. The burden to be placed on internal AID personnel and process
5. Costs to be incurred

Major positive emphasis in the initial process should be on:

1. Measuring results in goal achievement terms and ascertaining their significance
2. Analysis and synthesis to describe generalizable associations between projects and results
3. Incorporation of evaluation findings in the decision processes
4. Continued research on the system and its coverage and on related methodology

Areas for experimentation and research should include:

1. Description and classification of goals
2. Definition of indicators and related measurement techniques to answer questions of validity, methodology, limitations, interpretation, data requirements, etc.
3. Techniques for assessing cause and effect relationships
4. The practicability and usefulness for evaluation design purposes of taxonomies such as the Evaluation Design Framework
5. The role and utility of formalized goal-related evaluation of preselected projects versus case studies selected for current need

C. PHASE II

The primary objective of Phase II of this study should be to test the validity of Phase I conclusions against a field situation and to use this experience to adjust tentative instruments and guidelines. Specifically,

we would propose to work with PME to select a test country with a fairly typical program and an interested Mission staff. We would visit this country and work with the USAID staff to apply the model to a variety of proposed, ongoing and concluded activities, preparing Goal Level Evaluation Design Frameworks for each project or group of projects, and ascertaining the availability of data to evaluate goal level effects.

In the process of performing these tasks, we would acquire case data on the problems encountered in using the system and how these difficulties were resolved. Costs associated with operating the system would also be obtained.

Instruments and guidelines would be rewritten or modified based on this experience, and the choice of alternative means of implementing the program would be reviewed.

Finally, we would design an implementation system which would provide for introducing and testing the system on a broader scale. At this time we may also be able to suggest a schedule for expanding the system, and define the ultimate extent of the system.

Phase II should provide the following:

- Validation of the utility of the proposed system, based on a field trial in an operating country program;
- A complete set of instruments, instructions and guidelines for use of the system in designing evaluations at the goal level;
- An implementation plan which would suggest:
 - = Types of activities for inclusion and exclusion;
 - = Suggestions for determining priorities by countries and substantive areas;
 - = Proposals for staff use and development;
 - = A model budget;
 - = Suggested relationships among offices in AID/W and between them and the field;
- A schedule for expansion of the system;
- An agenda for further research to improve the utility of the system.