

IEES

**IMPROVING THE
EFFICIENCY OF
EDUCATIONAL
SYSTEMS**

**STRATEGIES FOR IMPROVING
EDUCATIONAL EFFICIENCY**

April, 1985

**Florida State University
Howard University
Institute for International Research
State University of New York at Albany**

Improving the Efficiency of Educational Systems (IEES) is an initiative funded in 1984 by the Agency for International Development (AID). The principal goals of the IEES project are to help developing countries improve the performance of their educational systems and strengthen their capabilities for educational planning, management, and research. To achieve these goals, a consortium of U.S. institutions has been formed to work collaboratively with selected host governments and AID Missions over the next ten years. The consortium consists of Florida State University (prime contractor), Howard University, the Institute for International Research, and the State University of New York at Albany.

There are currently nine countries participating in the IEES initiative. Five are in Africa: Botswana, Liberia, Niger, Somalia, and Zimbabwe. Other countries involved with the project are Haiti, Indonesia, Nepal, and North Yemen.

Documents published by IEES are produced to promote improved educational practice, planning, and research within participating countries. All publications generated by project activities are held in the IEES Educational Efficiency Clearinghouse at Florida State University. Requests for project documents should be addressed to:

IEES
Educational Efficiency Clearinghouse
Learning Systems Institute
206 Dodd Hall
Florida State University
Tallahassee, Florida 32306
USA
(904)644-5442

TABLE OF CONTENTS

	Page
INTRODUCTION.....	1
1.0 Field Operations.....	5
1.1 Overview.....	5
1.1.1 Major Components.....	5
1.1.2 Sequence and Strategy.....	7
1.1.3 Guidance and Oversight.....	9
1.1.4 Implementation.....	10
1.1.5 Institutional Collaboration.....	10
1.2 Sector Assessment and EHR Planning.....	13
1.2.1 Sector Assessment.....	13
1.2.2 Sector Assessment Update.....	14
1.2.3 Update Activities.....	19
1.2.4 Integrated Update Strategies.....	21
1.2.5 IEES Level of Effort for Update.....	22
1.2.6 Long Range Planning.....	23
1.3 Research and Development Support Program.....	24
1.3.1 Field Activities.....	25
1.3.2 Developing a Country Research Strategy.....	29
1.3.3 Contents of a Country Research Strategy.....	31
1.4 Training Activities.....	33
1.4.1 Types of Training Activities.....	33
1.4.2 Training Plan Development.....	36

1.4.3	Management and Implementation of Training.....	37
1.4.4	Immediate and Long Term Training Needs.....	38
1.5	Field Project Design and Implementation.....	39
1.6	Knowledge Building and Networking Program.....	42
1.6.1	Local Networking.....	43
1.6.2	International Networking.....	45
1.6.3	Publications.....	47
1.6.4	Clearinghouse Network.....	52
1.7	IEES Implementation Strategy.....	55
1.7.1	Implementation Plan.....	55
1.7.2	Resident Technical Advisors.....	63
2.0	Project Management.....	66
2.1	Direction and Policy Making.....	66
2.1.1	The Executive Management Committee.....	66
2.1.2	Technical Subcommittees.....	67
2.2	Coordination and Planning.....	71
2.2.1	Intraconsortium Coordination.....	71
2.2.2	International Coordination.....	73
2.2.3	Project Management and the Resident Technical Advisor.....	73
2.2.4	Project Management and AID/W.....	74
2.3	Monitoring and Reporting.....	75
2.3.1	Annual Plan.....	75
2.3.2	Formative Evaluation.....	77
2.3.3	Formative Evaluation System Design Process.....	81
2.3.4	Progress Reports.....	85
2.3.5	Activity Reports.....	86

2.4	Project Staffing and Participating Personnel.....	87
2.4.1	Senior Staff.....	87
2.4.2	Other Project Staff.....	87
2.4.3	IEES Consortium Technical Advisors.....	89

Introduction

Improving the Efficiency of Educational Systems (IEES) is a joint initiative funded by Science and Technology Bureau (Education Section) and Bureau for Africa of the Agency for International Development (AID). Its dual principal goals are to work collaboratively with host governments and USAID Missions in selected countries to:

1. improve the performance of educational systems, and
2. strengthen in-country capabilities for educational assessment, planning and management.

There are currently nine countries participating in this effort. Five are in Africa: Botswana, Liberia, Niger, Somalia, and Zimbabwe. Other participating countries are: Haiti, Indonesia, Nepal, and North Yemen. The project is being implemented by a consortium consisting of Florida State University (Prime Contractor), Howard University, the Institute for International Research, and the State University of New York at Albany.

The IEES Approach

The IEES strategy for attaining the two goals listed above is based upon an analysis of strategies for assistance to educational development in developing countries for the past several decades. The lessons drawn are that a sustained, systematic, multi-dimensional approach to the programming of assistance is needed to obtain lasting impact on system performance. The IEES approach is characterized by five important

features. These features, which are presented in major sections of this document are:

- o educational sector assessment and education and human resource planning (EHR);
- o research and development support;
- o field projects for educational innovation;
- o knowledge building and exchange network; and
- o training.

The project is designed to deliver a package of technical assistance and other resources over a ten-year period. Sector wide assessment and comprehensive planning provide the framework for project design and data-based management. The project operates within the confines of a country's existing resource constraints while working to improve the coordination and utilization of existing funding. Collaboration with host governments, USAID Mission staff, and other donors is built into the project at all levels. The development of an in-country capacity to continue this process by the end of the contract period is considered crucial to the success of the project.

Policy Objectives

The IEES strategy for attaining its dual overarching goals of sector improvement and institutional development are expressed in four major policy objectives:

1. Improve educational planning through comprehensive assessments of EHR sector and assistance in policy development.

2. Assist host country institutions to conduct research, plan policies, develop and test new solutions, and implement projects for improving the efficiency of EHR systems.
3. Transfer ideas and solutions which have proven successful in improving the efficient delivery of education through training, publications, and workshops.
4. Coordinate with other education donors in assisting host countries to develop their education systems.

Our priorities in the first year of operation are 1) to get the IEES process underway in the nine countries that are currently committed to participation, and simultaneously to 2) develop within the consortium the facilities and structures necessary to initiate, manage, and support project activities. Immediate plans concern two kinds of activities: the field operations to be carried out in each of the participating countries; and the central management and coordination functions undertaken to provide necessary back-up and support.

This document is organized into two major parts which present policy objectives and implementation guidelines for Field Operations and Project Management. Part 1 begins with an overview of the five interrelated component activities which form the foundation of the IEES approach to improving the efficiency of educational systems. In the sections which follow, each component is outlined separately with regard to its objectives and methodology. Part 2 outlines strategy for the management of the project and presents plans for project direction and policy making, coordination and planning, monitoring and reporting, and

project staffing.

The guidelines for IEES field operations have been drafted by consortium subcommittees and project staff working groups. Summaries of these are included in this document. The complete guidelines are subject to review and approval by the IEES Executive Management Committee.

1.0 Field Operations

i.1 Overview

The IEES process within participating countries consists of interrelated activities designed to promote improved educational practice and enhanced capacity for educational planning and research. The exact nature and structure of these activities will be collaboratively defined in each country with host country educators and AID Mission personnel. The activities will be guided and monitored by an advisory council chaired by representatives from appropriate host country institutions.

-1.1.1 Major Components

The IEES program in each country includes five principal types of activities, though others may be added as dictated by country needs and Mission resources. The major component activities are the following:

a) Education Sector Assessment and EHR Planning. An initial comprehensive assessment of the educational sector will be undertaken in collaboration with host country and Mission personnel within each country and will be followed by periodic updates. The data generated in this process will be designed to inform long range educational and human resource planning.

b) Research and Development Support. Systematic support will be given for the design and execution of medium-scale Research and Development projects with maximum participation by relevant host-country institutions. The topics for these projects will be derived from needs identified in the course of the sector assessment process or during the

implementation of field projects (see c below). The R&D projects will focus primarily on current inefficiencies in the educational system.

c) Field Projects for Educational Innovation. One or more major field projects aimed at increasing the efficiency of selected subsectors of the educational system will be generated and implemented in each participating country. These projects will address priority needs identified in the sector assessments and will be designed in collaboration with the host country and Mission as a means of meeting mutually-defined objectives. The projects may involve either dissemination and implementation of new educational methods (such as those developed during the R&D phase of the overall project) or enhancement of the institutional capacities of host country structures for educational planning and administration.

d) Knowledge Building and Exchange Network. IEES will contribute to building an in-country knowledge base for future educational planning and decision making and to developing an exchange network among educational researchers and practitioners within the country and abroad. The knowledge base will be supported by the operation of an Educational Efficiency Clearinghouse located in the country and managed with the assistance of appropriate host country institutions. The Clearinghouse will collect and make available to host country educators the results of educational research relevant to national problems and priorities, reports of seminal work done elsewhere in the developing world, and other documents generated or collected in-country during project activities. The exchange network will help to link host-country educators among themselves, with colleagues in other participating IEES

countries, and with support institutions in the developed nations.

e) Training. The project will provide training designed to develop host-country capabilities--institutional and personal--to participate in and manage all the foregoing activities and to contribute to improved EHR planning.

In support of these five activities, a Resident Technical Advisor (RTA) may be assigned to participating countries to assist the Mission and host country counterparts in all stages of the IEES process and to provide a direct coordinating link with consortium institutions.

1.1.2 Sequence and Strategy

The five generic types of activities described in the foregoing sections will be designed both to make a direct contribution to improved educational efficiency and to reinforce host country capacities for improved EHR planning. The activities are mutually supportive and will reinforce each other in a number of important ways. A prime purpose of the sector assessment, for example, is to furnish host country educators with baseline data needed for subsequent decisions about the directions for educational research and planning in-country. The sector assessment thus informs the choice and conception of R&D studies and field projects undertaken thereafter, provides data to reinforce the country's knowledge base, and indicates areas in which additional training is needed.

Similarly, there are important relationships among the research and planning activities supported by IEES. R&D studies provide a theater for

research and experimentation with new educational strategies, the best of which may then be implemented on a larger scale through field projects. The results of research will also provide data and new insights for subsequent planning efforts.

The other activities in the IEES process--training, building a knowledge base and creating an exchange network--constitute means for supporting and multiplying the efforts of assessment, research, planning and implementation. Training is incorporated into all other project activities and provides an essential mechanism for increasing host country participation and for building institutional capacity. This training will be conducted for the most part in-country to minimize the time participants will be away from their regular duties. However, project staff will also assist Mission personnel in developing plans for longer term participant training which complement the IEES effort and make most effective use of the resources available in this area.

The in-country Educational Efficiency Clearinghouses furnish information and provide access to resources needed in the development of field projects and in the execution of R&D studies. They also function as a repository for the data and research results these activities generate and so serve to build up the local knowledge base for educational planning. The national and international exchange networks supported by the project facilitate the flow of information and increase the internal and external economies of IEES activities.

The exact sequence and strategy of IEES activities will depend on conditions in each of the participating countries, and particularly on host country priorities and the existing commitments of the Mission and other donor agencies. In instances where field projects have been selected for implementation, and project documents prepared or underway prior to the inception of IEES, sector assessment and research can serve to broaden and refine these commitments and place them in the context of ongoing national educational planning. In countries where sector assessments or other studies completed before the signature of the contract have already generated research studies, the critical concern may now be to translate the results of these studies into field projects. In all cases, the set of project activities designed in each country must take account of existing host country and Mission plans and relate to them in a manner that will contribute to the accomplishment of the fundamental IEES objectives.

1.1.3 Guidance and Oversight

IEES activities within participating countries will be guided by a Country Advisory Committee (CAC) composed of host country educators closely involved in project activities, Mission personnel responsible for education sector development, and IEES advisors on assignment to the country. The host country educators who form the cores of the CAC will be drawn particularly from government personnel who were involved in the initial sector assessment, though the group may be enlarged to include participants in later studies and projects. The involvement of major donor agency personnel in CAC discussions can lead to the close

coordination necessary for effective use of resources and gaining maximum advantage from institutional development activities.

The IEES RTAs, where present, will take an active role in assisting the CAC, providing information for its use and ensuring close liaison with project management.

The CAC will guide and oversee in-country activities in the principal areas of project activities. The role of the CAC in each of these is described below in the appropriate section of this document.

1.1.4 Implementation

The advisory structure within each participating country will be responsible for developing an IEES Implementation Plan for that country, based on priority needs identified in the sector assessment, and for revising and updating the plan annually. It will be assisted in this task by IEES project staff and by the RTA, where one has been requested and assigned. The plan will define the principal objectives of IEES in the country in a manner that is consonant with and supportive of host country and Mission priorities. It will outline the principal activities to be undertaken over the life of the project and estimate necessary resources. Plans and budgets for the upcoming year will be presented in greatest detail. The plan will be reviewed annually by the CAC. Where present, the RTA will assist with the execution and evaluation of the implementation plan.

1.1.5 Institutional Collaboration

Collaboration with host-country institutions is of key importance in the IEES project for two reasons. First, helping to develop host

country capacity for improved educational planning, research and implementation is a fundamental objective of the project, and close cooperation with local institutions that have planning and research responsibilities is a critical means for achieving this goal. Second, IEES methods need to be adapted to the cultural and social context of each country, and counterpart institutions are well situated to play this role.

Collaboration is needed in several different areas of project intervention to be explored more fully in the remainder of this document: design and execution of R&D studies, sponsorship of training programs, conduct of sector assessment updates, monitoring of field projects, and coordination of Clearinghouse activities. The selection of the host country institution or institutions with which IEES will develop this collegial supportive relationship is a key decision that the Country Advisory Committee or advisory structure must make early in the life of the project. In some cases, institutional relationships have already been formed in the course of conducting the sector assessment, based on mutual respect for professional work and a common commitment to educational efficiency, and the CAC will need only to ratify these. In other cases, it will not be advisable or possible to vest all the functions mentioned above in a single host country institution, and a set of two or more collaborating institutions will need to be designated. In all cases, the advisory structure will be responsible for facilitating, monitoring, and reviewing these relationships to ensure that they are to the mutual advantage of host country institutions involved, missions, and project.

In the following section, a summary of the draft guidelines developed for the five principal types of IEES activities is presented, along with an outline of the procedures proposed for the design and execution of IEES implementation plans. Since the complete drafts of these various guidelines have not yet been approved by the EMC, the texts that follow represent unofficial versions. They provide, however, a clear sense of the direction in which the project is moving.

1.2 Sector Assessment and EHR Planning

The sector assessment and the sector assessment update form the core of the project data collection and analysis activities. Together these activities form the basis for improving the efficiency of educational systems and for establishing a policy dialogue founded upon comprehensive planning and data-based decision making. The ultimate goals of these foundation methodologies are to:

a) enable host country decision-makers to assess the status of education and human resource development within the framework of national goals and priorities;

b) help them in the choice and design of targeted interventions to improve their systems by making the most effective use of existing and proposed resources; and

c) strengthen the capacity of local institutions for a fully integrated approach to educational planning and management.

1.2.1 Sector Assessment

An education sector assessment is a preliminary overview of needs in formal and nonformal education, economics and management capacity. The assessment is designed to:

a) Identify a coordinated set of priority areas for the investment of internal and external resources;

b) Focus attention on constraints affecting these investments; and

c) Encourage coordination of donor assistance.

It is meant to replace a project-oriented approach to planning with a comprehensive orientation to make more efficient use of the limited resources available for human resources development.

Purpose

The sector assessment has four basic purposes. First, through the involvement of host government officials in its preparation, the assessment focuses their attention on the sector approach. This is especially important because the more efficient use of limited resources has become increasingly critical for developing countries over the past few years. A second purpose is to obtain baseline information to permit a more detailed analysis of sectoral needs, constraints, issues, and priority areas for a comprehensive program of development in the education sector. Third, the program is intended to encourage coordination of assistance from all donors. And last, the assessment serves as the initial version of a continually updated resource to guide all activities in the education sector.

The immediate beneficiary and most significant user of the sector assessment is the host government. The assessment also will benefit the local USAID Mission, other donors, and AID/W. The local Mission benefits by having a basic structure developed for a program of continued and coordinated assistance in the education sector. Other donors will have a way to focus their assistance on priority areas, where its effectiveness will be improved.

1.2.2 Sector Assessment Update

The Sector Assessment Update (SAU) functions as an annual data-gathering activity and as a long-term vehicle for establishing and demonstrating the value of data-based planning while creating opportunities for the development of host country capabilities.

The specific objectives of the SAU are to:

- a) provide data for the updating of the sector assessment;
- b) provide data for the development or revision of the IEES Implementation Plan; and
- c) provide practical opportunities for the development of assessment and planning capabilities within host country institutions.

Rationale

The rationale for the monitoring function of the sector assessment update is based upon two assumptions. The first is the assumption that the education sector in each country is constantly evolving and that educational priorities, programs, and personnel are therefore subject to change. The second assumption is that the sector is too complex to be fully investigated in a single effort, but through subsequent updates we can improve our knowledge of the sector by including issues and programs not treated adequately in the initial sector assessment (for example, private sector schools, religious institutions, non-formal activities, women's programs). Two general need statements are derived from these assumptions:

- to monitor projected and unanticipated developments which occur in a sector over time; and
- to enhance our knowledge about a sector by documenting programs and issues which were either omitted or inadequately treated in the initial assessment.

The second major function of the update is to provide practical

opportunities for the development of assessment and planning capabilities within host country institutions. The underlying rationale is that such skills can be best developed and maintained through the on-going collaborative interaction of host country personnel with IEES consultants in purposeful activities. The long term nature of the IEES program and the recurring cycle of the update present optimal conditions for on-the-job experience and institutionalization.

Relation to Other IEES Components

The SAU has its most direct impact in shaping the conclusions and recommendations of the IEES Implementation Plan. The update furnishes the necessary information and data for this annual assessment of general sector developments and IEES program activities. In this capacity it serves a formative evaluation function for the host country government, Mission personnel and IEES staff in apprising them of the degree of implementation and impact of programs in priority areas. On the basis of the update, new priorities may be established in the implementation plan for IEES program assistance, research and training support, and institution building targets.

Planning SAUs

Responsibility for planning SAUs will be delegated by the EMC to project staff personnel or institutional coordinators. The identification of key areas to be addressed in the update will result from inputs from a variety of sources. These include field sources (IEES RTA, discussions with in-country mission and host country personnel, and other donors), and such country background documents as

the sector assessment, current implementation plan, and Mission Country Development Strategy Statement.

A major concern during the planning phase will be to design mechanisms in the update process which maximize the participation of host country educators. The long range objective of the IEES program is to assist the host country to become capable of conducting its own ongoing assessment and update activities, as well as to become convinced of the value of doing so.

Flexibility will be necessary during the planning phase to allow for differences from one country to another. In some countries the identification of update topics may be based upon informal discussions with field sources, combined with the team leader's working knowledge of the issues, while in others they may be formulated in formal planning sessions. Similarly, the involvement of host country personnel may be facilitated through formal training workshops which provide skill training in prerequisite competency areas, or through structured counterpart assignments creating opportunities for informal on-the-job training experiences.

The Preliminary Agenda

One of the team leader's first tasks will be to develop a preliminary agenda and to schedule and coordinate its review with AID/W. The preliminary agenda is an initial statement of needs identifying key areas to which update activities might be directed. It is the rationale for the update developed from country background documents and from in-country discussions with mission and host country personnel, other

donors, and the IEES RTA, where present. This rationale can act as a basis for preparation of a suggested scope of work.

During this formative phase in the development of SAU guidelines, no attempt is made to define a standard content outline for all SAUs. For the first two updates, content will be determined by the data priorities identified in the preliminary agenda. If there is a need for standardization of format, this problem will be addressed during the review and revision of this document.

Preliminary In-Country Discussions

In those countries where IEES has had a long-standing involvement in the education and training sector, discussions leading to the SAU preliminary agenda will take place within the context of the on-going professional contacts of IEES staff with Mission, host country personnel, and other donors. In other countries, where IEES activities have more recently gotten underway, an advance visit of the team leader will be scheduled to meet with these groups to obtain a general consensus on the goals of the update.

A point of departure for in-country discussions will be an examination of the uses and usefulness of the initial sector assessment document to these groups. These discussions should also examine the level of host country participation in the initial sector assessment activities and their sense of ownership of that document. The outcome of these discussions will be the identification and prioritization of needs for achieving the long term goal of strengthening host country capacities in educational planning and decision making.

During the preliminary discussions a counterpart host country institution will be identified to assist with the logistics and planning and serve as an institutional base for the assessment team (if such an institution has not yet been identified). Depending upon its resources, this institution may provide support such as office space and equipment, transportation, translators and staff to assist in the data collection and analysis.

In the discussions with host country officials, consideration will be given to problems and constraints which limit the involvement of their personnel. These include problems related to their availability, the added workload of an update, and level of motivation. These constraints may involve special administrative arrangements to provide release time for government personnel. Such factors have cost implications for budgeting and should be identified prior to activities.

1.2.3 Update Activities

In-country activities will be centered upon gathering and analyzing two types of data and information for the sector assessment update: core and country specific.

The first category includes information needed to update the sector assessment and implementation plan (for example, enrollments, expenditures, attrition rates, unit costs and other efficiency variables subject to variation over time).

The second category, country specific, includes the generation of new types of data where this is deemed necessary or desirable. This optional category provides the team leader with greater flexibility in

according priority to mission and host country requests in addition to standard sector assessment topics or approaches.

For both categories of information, it may be necessary to collect primary data in the field if sufficient data are not readily available in analyzable form. This problem has implications for budgeting and scheduling since it is likely to involve added costs and require a greater level of effort. Examples of types of data to be collected are presented below in association with possible update activities:

Core Activity

Update initial assessment. Collect and analyze data that were missing, have changed, or were incorrect; for example, current enrollments, access patterns, progression rates, costs, sector developments.

Country-Specific Activities

- o Expand scope of initial assessment. Collect and analyze data in areas which complement the initial assessment, by giving more comprehensive treatment to certain issues and programs; for example, private schools, business sector training programs, religious schools, women's programs, donor activities.
- o Focus upon specific themes. Collect and analyze data which focus upon a specific dimension of education across subsectors or across countries; for example, costs and financing, administration and planning, teaching methods, instructional materials, training needs, management.
- o Focus on a specific institution. Collect and analyze data through an in-depth study of one or more institutions to

provide insight into the day-to-day problems and constraints confronted by educational and administrative institutions. It can also provide the opportunity to study successful strategies implemented at exemplary institutions.

- o Focus upon regions. Collect and analyze data on a particular geographical region of interest to government, donors, and the Mission. These studies might be used to highlight problems of access and equity, or costs and financing that tend to be region-specific.

1.2.4 Integrated Update Strategies

To make the most economical use of IEES resources in fielding in-country teams, it will be cost-effective and efficient to schedule one or more IEES field activities within the same timeframe as the SAU. In addition to expected cost savings (air travel, consultant time, per diem), improved congruence between program components can be expected to result from continuity of personnel. Some program components which may be considered for inclusion in an integrated update strategy are:

- o development of the IEES Implementation Plan, where one does not already exist;
- o review and revision of existing implementation plan;
- o targeted short-term research projects; and
- o targeted short-term training activities.

The relationship between the SAU and the IEES Implementation Plan is a fundamental one. One of the primary objectives of the SAU is to monitor sector developments to obtain data required to revise the plan.

Elements of the plan to be revised annually are specified in the draft implementation plan guidelines.

In those countries where an IEES Implementation Plan has not yet been developed, it could be undertaken at the time of the SAU. While such scheduling would assure that the plan is based on the most current data and information, it should not preclude the possibility of basing the first plan on the initial sector assessment or equivalent documentation.

In planning integrated strategies, consideration will be given to the selection of team members who possess the skills required for multiple assignments, and who are available for the extended time periods required. The longer timeframe of these assignments will have cost implications for budgeting. These can, however, be justified by the long term cost savings.

1.2.5 IEES Level of Effort for Update

The project goal is for host country personnel to develop the capacity for conducting the data collection and analysis activities which underlie the SAU and other planning activities to enable them to manage their educational systems more efficiently. Thus, the staffing level of IEES personnel involved in updates will decrease, reflecting the change in role from support personnel to resource persons.

The highest level of IEES staffing will be required during the initial updates, and will be determined by the type and number of activities specified in the scope of work. At this time, it is not possible to determine staffing requirements with accuracy, but they will be less than the level of effort for a sector assessment, and in most

cases considerably less. An estimated range of three to six person months (3-6 pm) is expected for the first update. During the subsequent years, IEES staffing levels should be expected to decline to one or two consultants (2-4 pm).

1.2.6 Long-Range Planning

The most significant outcomes of both the initial sector assessment and its subsequent updates will be to provide relevant data for use in national EHR planning and to furnish host country personnel with opportunities to refine their analysis of the country's educational system. Actual long-range (5- or 10-year) EHR planning falls outside the scope of the IEES project and is the sole responsibility of the appropriate host country authorities, but the project will contribute to this activity by helping to develop key informational and skill inputs.

Host country, Mission, and IEES personnel will engage directly in one form of planning to be discussed later in this document (section 1.7), the design and annual revision of an IEES Implementation Plan. This plan will lay out the sequence and strategy of IEES activities over the life of the project and the way in which they will contribute to national educational goals.

1.3 Research and Development Support Program

Support for research and development activities conducted in the field with and by host country educators on problems of critical importance to educational efficiency is a key element in IEES strategy.

The research and development support program has five closely related practical objectives:

- 1) To develop new methodologies, approaches and products adapted to local conditions for improving the efficiency of EHR systems in participating countries;
- 2) To generate a knowledge base for improved educational planning in the country in question;
- 3) To develop capacities for educational research and analysis among host country personnel;
- 4) To support selected host country institution(s) which are interested in this sort of policy research and capable--or potentially capable--of undertaking it on an on-going basis; and
- 5) To provide a basis for international comparison and exchange of research results among participating IEES countries.

These summary guidelines will provide a brief overview of the scope and nature of IEES research and development support program. They will be revised annually on the basis of experience acquired in the field. The following sections are devoted to a description of the principal components of the program --first, the activities to be undertaken in the field and then the central support functions that they entail. The

final section will deal with the strategy proposed for developing the research and development support program for each country.

1.3.1 Field Activities

The focus of the research and development support program is on research projects carried out in participating IEES countries. These projects will ideally have five characteristics:

- 1) They will be directly related to the policy needs of the countries in question;
- 2) They will be carried out in full collaboration with an appropriate host country institution;
- 3) They will provide opportunities for training host country researchers in R&D techniques;
- 4) They will provide a basis for exchange and comparison of research results with similar studies in other participating IEES countries; and
- 5) They will be monitored and their results studied and disseminated by the IEES Country Advisory Committee.

These five characteristics are examined in greater detail in the following paragraphs.

Relation to Policy Needs

The topics for the research and development support program in each country will be derived from an analysis of the priority needs of the educational system and will not be justified solely on the basis of their own intrinsic interest or merit. The EHR sector assessment furnishes one important starting point for establishing such a list of

topics. Critical data gaps and areas of continuing or newly emerging practice and policy focus noted in the sector assessment are suggestive of subjects that merit further investigation. Another starting point is constituted by an inventory of existing research studies and research facilities in the country in question.

In prioritizing the list of research projects to be undertaken, the consortium and the host country advisory committees will give particular weight to topics that:

- bear a direct relationship to critical areas of policy and educational innovation; and
- promise both to make maximum use of existing research resources and to favor their further development.

The advisory committees will also be concerned to encourage the dissemination of the results of the studies and the application of the lessons learned in subsequent EHR planning and management.

Over the five-year duration of the initial contract, the project will generate a minimum of three research studies per country. These will be reviewed by the Cognizant Technical Officer (CTO) and submitted to project management in 100 copies.

Collaboration With Host Country Institutions

One of the most important outcomes of the research and development process in IEES participating countries will be to increase the capacity of local institutions to carry out this kind of policy-oriented research in the countries in question. It will therefore be critical to identify at an early date an institution (ministry unit, official agency, university division, research and planning office) which has the interest and the

existing--or potential--capacity to undertake this work. Thereafter, all R&D activities will be designed and executed in collaboration with this institution, and it is anticipated that a larger and larger portion of the work will be directly subcontracted to it.

The institution chosen must be supportive of the larger planning and policy-making effort for national education and not see research as an end in itself. It must also be prepared to serve as a liaison unit with the planning and research units of the EHR ministries, as well as with the ministries responsible for manpower, finance and national planning.

Training Host Country Researchers

An associated objective of the R&D support effort is to provide individual host country educational researchers and planners with the training--and particularly the informal apprenticeship and practical experience--that they will need in order to play an active role in conducting policy-relevant research in their countries. A number of the training workshops sponsored by IEES, and described in the Training Section of this document (1.4), will be aimed at refreshing or upgrading the research skills of host country personnel so that they may play an active role in R&D activities. In addition, all research projects will be organized to provide maximum opportunities for local staff to participate in research design, field work and data analysis, and so to learn by doing.

Networking and Exchange

Another major outcome of the R&D support process will be the sharing and comparison of research procedures and results among

participating IEES countries. To obtain comparability, at least one of the three topics chosen in each country for research study should be a "networking research topic" focusing on a common concern in the area of improved educational efficiency shared by three or more countries. IEES will sponsor bilateral exchanges among the countries in question plus an international conference on these shared research topics to be held in the third or fourth year of the project.

Oversight and Monitoring

The agenda of R&D activities will be set by the IEES Country Advisory Committee (CAC) of each participating country. The CAC may designate a subcommittee or working group, composed predominantly of staff of the collaborating host country research institution, to prepare a draft of the agenda, monitor the implementation of projects and report back on results. The RTA will be expected to spend a major portion of his/her time in supporting implementation of the R&D agenda.

Central Support Functions

Overall support for R&D activities in participating IEES countries will be coordinated by the Executive Management Committee of the project with the assistance of the technical subcommittee on research and training. These bodies will be responsible for approving and revising the present guidelines, supporting the IEES CACs within participating countries in their research and development activities, and overseeing the production of monographs resulting from the field research.

1.3.2 Developing a Country Research Strategy

The strategy of research and development support in each country will be an integral part of the overall IEES Implementation Plan in that country and must be developed in close coordination with it. The country research strategy will be defined in a document to be included as an appendix to the implementation plan. The overall format of the document on research strategy and the procedure for developing it are described in the following paragraphs.

Process

The procedure for developing a country research strategy closely parallels that for devising an implementation plan and may be summarized in six steps.

- 1) The Research and Training Subcommittee on the EMC will develop an initial listing of potential research and R&D topics for each country and of outside resources available for carrying out the related studies. This listing will be based on the analysis of four items:
 - the results of the EHR sector assessment and other relevant IEES activities already conducted in country;
 - other expertise about the country from within or without the consortium;
 - the state of research on educational efficiency in LCDs; and
 - research resources available through the consortium.
- 2) This initial list will be circulated among consortium members and then submitted to the EMC for approval as a component of

the first-draft IEES Implementation Plan for the country in question.

- 3) The proposal approved by the EMC will be cleared with AID/W.
- 4) Within the host country, the RTA or IEES advisor will inventory existing and ongoing research relevant to IEES objectives, identifying existing individual and institutional research capacities in the country, and examine current patterns of research implementation. This information will be summarized in an informal status report on research in the country in question.
- 5) The EMC proposal and the status report will be presented to IEES Country Advisory Committee, which will have prime responsibility for selecting research projects and drawing up the final country research strategy document. The CAC may designate a subcommittee or working group composed of representatives of an appropriate host country institution, the RTA (where present), and, if desired, outside IEES advisors to assist it with this task.
- 6) The strategy developed by the CAC will be submitted for final approval to the EMC and to AID/W.

These six steps will not necessarily be followed to the letter in every country. Moreover, the full procedures applies more to the initial stages in IEES involvement in each country than to subsequent years. Once IEES activities have gotten well underway, the experience acquired in the field will be the prime stimulus to the generation of further research topics or the modification of projects already adopted. In

this case, the EMC and its Research and Training Subcommittee may provide ongoing input to the selection, design and implementation of R&D projects, but the principal initiative will lie with the CAC.

1.3.3 Contents of Country Research Strategy

The research strategy document will contain the following sections:

- a) A summary of the objectives of the R&D support program within the context of the overall IEES Implementation Plan. These may include:
 - developing new methodologies, products and approaches for improving the efficiency of the country's EHR system;
 - generating a knowledge base for educational planning; and
 - developing analysis capacities among host country educational researchers and planners.
- b) A priority listing of research topics justified by reference to the objectives above and to the needs of the EHR system.
- c) An inventory of existing and ongoing research relevant to IEES country objectives.
- d) An analysis of current host country institutional research capacity and of resources available through IEES and other donors.
- e) A proposed program of research, including:
 - topic, purpose and justification of three proposed research projects;
 - outline of proposed methodologies;
 - schedule of research activities;

- outline of systems for management and organization of research;
- required training;
- required material support;
- necessary sponsorship and clearance; and
- plan for dissemination and utilization of results.

1.4 Training Activities

Training to achieve project goals is central to project planning and integral to all project activities. Project training activities have three related objectives. Training activities will enable host country counterparts to:

- 1) participate fully and effectively in IEES activities;
- 2) develop individual and institutional capacities to carry out project planning, implementation and evaluation of activities;
and
- 3) develop capacity to plan and implement training programs for other host country professionals.

These objectives can be realized through short term training only insofar as each training activity is designed as an integral part of the comprehensive IEES Implementation Plan.

Training must include staff at all levels within the host country institution to ensure that full institutional support is available to effect change in the educational system. High level administrators as well as professional and technical staff must be committed to continue and broaden the training program into the future. In countries where national training councils or other organizations exist with recognized training responsibilities, full coordination should be established through the training offices of the participating institution.

1.4.1 Types of Training Activities

Three types of training activities are planned: informal, formal and training manuals. Within these, specific applications will be

designed to fit individual audiences and short term training activity objectives. These training activities will all emphasize action-oriented training and participative exercises, and all training activities will be conducted in the language of the participants.

In those situations where the technical advisor does not speak the language of the participants, the advisor will work with counterparts to devise an effective plan for preparing and presenting all training in spoken and written forms of the appropriate language.

Informal Training Activities

The ten-year timeframe of the IEES Project offers an opportunity for close and ongoing collaborative relationships with key host country counterparts to develop technical skills through participation in planning, implementation and evaluative activities. This collegial context for the transfer of skills will be exploited in countries where IEES RTAs are placed, or where project activities provide for continuity of IEES personnel. In those countries where no RTA is present, and where project personnel are present only on an interim basis, preparatory documents will be sent prior to advisor arrival, and follow-up activities will be designed to sustain involvement and skills development. While it will not be possible to specify the outcomes of informal training with the same precision as formal training activities, such training is expected to play a significant role in the development of institutional capacity.

Formal Training Activities

Formal training activities include both in-country workshops and

international conferences. Workshops will be planned during the implementation plan development process and will include the following specifications:

- a) The problem being addressed, and its relationship to host country priorities;
- b) The skills being developed, and their place in achieving project objectives;
- c) The product to result from the workshop, and how it might be disseminated;
- d) The networking possibilities for the activity and how these linkages might be reinforced; and
- e) Evaluation and feedback procedures to obtain information on both training process and product.

IEES international conferences are planned for host country professionals to provide additional training opportunities and cross-country exchange and networking activities. They are further discussed in the Knowledge Building and Networking section (1.6).

Networking strategies in support of formal training will be developed by the Knowledge Building and Networking Subcommittee. They will ensure that all formal training activities take advantage of the opportunities for disseminating the products of the activity within and across participating countries.

Training Manuals

In support of institutional development activities, training manuals will be developed for topics of critical importance to the improvement of educational efficiency. The first training manual will

provide guidance in the techniques and procedures underlying the sector assessment process, and will assist host country educators in training others to achieve these capabilities. These manuals are further described in the Knowledge Building and Networking section (1.6).

1.4.2 Training Plan Development

Development of a training plan will be an integral part of the IEES Implementation Plan. This part of the implementation plan will identify training priorities in participating countries and schedule training activities to address targets in the education sector. The development of the training plan is premised upon two conditions:

- 1) The knowledge of, and concurrence with, the IEES sequence of in-country activities by the highest authorities in participating countries; and
- 2) The identification of a host country institution targeted for institutional development efforts to carry out human resources assessment, educational planning and policy formulation, and field project design and implementation.

As the training plan for participating countries will be outlined during the annual IEES Implementation Plan development process, the long term training activities will be based upon the constraints and recommendations of the sector assessment, subsequent research and subsector studies, and the results of the annual sector assessment update process. This plan will be outlined in detail for the coming year, with training activities for the remaining years anticipated, but subject to revision based on in-country developments.

The IEES Implementation Plan will include a prioritized list of identified training needs congruent with host country and Mission priorities. This list will be reviewed annually during SAU and implementation plan activities.

The training plan will specify the following information:

- a) immediate and long-term training objectives and their relationship to project goals and host country priorities;
- b) types of training activities planned with tentative schedule for integration with other implementation plan activities;
- c) expected participants and their organizational affiliation; and
- d) an estimated budget for training activities.

1.4.3 Management and Implementation of Training

Following the collaborative development of immediate and long term training plans, the participating host country institution will coordinate the implementation of the training activities. They will be assisted in this task by the IEES RTA, where present, and by consortium technical advisors selected for this task on the basis of the following competencies:

- a) technical expertise;
- b) training and facilitative skills; and
- c) linguistic and cultural experience in the host country area.

The IEES Country Advisory Committee (CAC) will review training activities on a regular basis and provide guidance as needed. The CAC will under take an annual review of all training activities as preparation for the country implementation plan development process.

1.4.4 Immediate and Long Term Training Needs

Immediate training needs include those planning and evaluation skills host country professionals need to enhance their present capabilities to design, manage and evaluate educational programs and subsectors of the education and training systems in their country.

Training applications of these skills include the following categories:

- a) fiscal capacity analysis;
- b) management capacity;
- c) external efficiency analysis;
- d) internal efficiency analysis;
- e) access and equity assessment; and
- f) analysis of unit and costs and financing alternatives.

Long term training priorities will emerge from country-specific research agendas, training and networking activities, development projects and collaborative planning activities. These priorities address those skills required for these activities, but not now possessed by host country personnel. The prioritizing of training activities will be accomplished during the annual revision of the training plan.

The ongoing project activities in participating countries may result in the identification of long term participant training priorities as well as the short term training discussed here. Project staff will assist Missions in developing plans to meet these training priorities through available resources.

1.5 Field Project Design and Implementation

All components of the IEES strategy are designed to enhance educational efficiency over the long term. A prime objective of IEES is the fostering of larger scale projects focused on areas of greatest need and resulting from improved policy making, planning, design and management on the part of host country governments.

IEES activities within a participating country, particularly the sector assessment process and R&D studies, will contribute to the generation and implementation of field projects at three different levels:

- 1) First, the data gathered and the needs identified in the course of sector assessment studies and their updates may serve as an inspiration and resource for a variety of educational change projects sponsored and funded by the host country government and any one of a number of donor agencies. IEES staff may not be involved in these projects beyond informal consulting and the support which the data gathered provides.
- 2) The second level consists of the particular subset of education change projects supported and funded by the USAID Mission. IEES technical advisors may assist Mission personnel and host country counterparts in each participating country to generate, conceptualize and define one or more field projects based on the results of the sector assessment and other relevant data about host country needs. IEES staff will be concerned to help the Mission compose a

strategy of educational assistance and a portfolio of interventions which makes an optimum contribution to the accomplishment of host country development goals. Project staff may also help the Mission to evaluate and review these efforts.

- 3) The third and still more narrowly circumscribed level, is constituted by those USAID-funded projects which IEES staff will actually help to implement. IEES will not necessarily be involved in actual project implementation in all participating countries. Given, however, the planning, research and evaluation orientations of IEES methodology, consortium staff may be involved at least to the degree of performing evaluation functions in a number of AID-funded projects.

IEES will furnish the second and third types of field support mentioned above--that is, assistance in the development of PIDs and PPs and assistance in the actual implementation of field projects--upon the request of USAID Missions and their host country counterparts. These requests will be relayed to the EMC by AID/W, and the EMC will be responsible for prioritizing the requests and formulating the project's response. Criteria for prioritizing the requests for assistance in the development of PIDs and PPs may include the degree to which the proposed projects follow from sector assessment results, or are based on equivalent analysis of the needs of the education system, and the level of host country support for the endeavor. Criteria for prioritizing the requests for implementation assistance

may include as well awareness of the particular strengths of consortium institutions and judgments about the optimal mix of field involvements for IEES. Field projects to be designed or executed may include either efforts to implement research-based innovations in educational systems or attempts to enhance local institutional capacities for planning, management and training.

Assistance in project selection and design will be funded from central IEES budget, whereas implementation assistance will be supported by project funds allocated by the USAID Missions concerned.

1.6 Knowledge Building and Networking Program

The Knowledge Building and Networking Program contributes to project goals by promoting the more effective use of information in educational planning and decision-making through a variety of activities in communication, exchange, knowledge building and dissemination. The information shared in this way will promote:

- a) improved in-country capacity in key efficiency areas;
- b) selection and implementation of maximally relevant R&D projects; and
- c) improved educational implementation, evaluation, and administration.

The target audience for the IEES Knowledge Building and Networking Program activities is broad. The ultimate beneficiaries will be the population of the participating countries, particularly the rural poor. The intermediate beneficiaries will include the following:

- educational and financial planners and policymakers;
- educational practitioners (including teachers, school administrators, project directors, etc.);
- educational researchers;
- AID personnel concerned with the EHR sector;
- other donor agency personnel; and
- development professionals.

There are four major components of the Knowledge Building and Networking Program:

- Local Networking
- International Networking
- Publications - (Monograph Series, Technical Packages, Quarterly Bulletin and Training Manuals)
- Clearinghouse System - (in-country clearinghouses and central IEES clearinghouse)

These four elements constitute an integrated subset of activities within the project and should be complementary and mutually supportive. They are summarized in the sections below.

1.6.1 Local Networking

IEES activities will be designed to reinforce linkages among host country educators interested in planning and research issues and to promote exchange within each country on topics relevant to educational efficiency. This "intra-country" networking is essential to provide a firm foundation for international exchange and to ensure optimum utilization and dissemination of the resources made available through the publications and clearinghouse programs discussed below.

Rather than organize specific networking events, the project will seek to incorporate a local networking component into all IEES activities taking place in-country: training workshops, planning and programming sessions, evaluation exercises, etc. In the case of training, this will mean reserving a session during the workshop to address questions such as the following:

- What further information do participants need?
- What further training do they need?
- How might these material and training needs best be met?
- How might the process or the product of the workshop be disseminated to non-participants or revised and transferred to other activities?
- How might the participants continue the exchange begun or renewed during the workshop? How might they be more effectively linked for mutual support and information?

In a similar manner, attention will be paid in the course of IEES programming events to the way in which the proposed activities can reinforce linkages among host-country researchers and educators and promote fruitful exchange and collaboration in the constitution of a local knowledge base and the generation of new resources.

Guidelines for networking support will be developed by the Knowledge Building and Networking Subcommittee. IEES staff who take part in project planning or programming events in participating countries will be responsible for seeing that networking concerns are incorporated into the agenda. In the area of training, some specific arrangements may have to be made, however. Training workshops are focused for the most part on technical topics and are conducted by subject area experts, who may not be abreast of the overall development of in-country IEES activities or able to address the long term knowledge building and institutional capacity developing concerns which networking implies. For this reason, it will normally be desirable for someone with a broader programmatic IEES involvement (RTA or IEES staff member

concurrently in-country) to take charge of the networking support element in the workshop program.

1.6.2 International Networking

The IEES Project will seek to establish cross-country networks of exchange among educators in participating countries, and between them and support institutions in the developed world for the purpose of sharing methodologies, comparing research results and developing innovative approaches to the problems of educational efficiency. Exchanges of personnel and information among groups of participating countries, dissemination of research and field project results across national boundaries, and the convening of international conferences and workshops all constitute means by which this cross-country networking will be developed.

Two international conferences are planned for the first five years of the project. The first is scheduled in the fall of 1985 (assuming necessary approvals). The objectives of the first conference are to:

- a) Disseminate information on the IEES Project;
- b) Develop USAID Mission and host country personnel identification with the IEES Project;
- c) Provide a forum for exchange of information about initial country activities and country plans as they relate to the common goals and principles of the IEES Project.

- d) Promote cross-country networking both formally and informally.

The location of the conference has not yet been decided.

The proposed conference theme is "common constraints to achieving educational efficiency." A formal presentation conference is not planned, but rather a participatory event during which participants discuss and compare key problem areas constraining educational efficiency in their countries and consider types of outside support and international exchange that would be most appropriate to help resolve these problems. Representatives from Botswana, Liberia, and Somalia will be invited to make presentations discussing developments in their countries. Two representatives from each participating country will be selected to attend. The Country Advisory Committee (IEES RTA, USAID Mission, and host country institution representatives) will participate in the selection of country representatives to the conference. In countries where this team has not yet been formed, a selection committee will be formed of IEES staff closely involved in country activities, Mission and host country institution representatives. Participants in the first conference will be individuals responsible for educational policy, financing, and higher level operations in ministries such as Education, Finance, and Planning.

The second conference will be held in the fourth or the fifth year of the project. The content of the second conference will be more specific and will focus the results of field projects and R&D activities underway or completed in participating countries.

1.6.3 Publications

Four types of publications will be produced:

- Monograph Series;
- Technical Packages;
- Quarterly Bulletin; and
- Training Manuals.

These publications are described below.

Monograph Series

This series consists of progress and final reports on R&D activities conducted during the IEES Project. The reports will focus on findings relevant to improved educational efficiency and on problems encountered in carrying out the research (the research agenda is discussed under Research and Training). Content will be detailed enough to allow replication of the research, but not as complicated as scholarly publications. The monographs will be prepared in an easily understandable format to permit readers to grasp essential details and results in a few pages.

Technical Packages

Technical packages will provide host country and donor planners current information on topics critical to educational efficiency and effective educational planning. Each package will contain a synthesis of current knowledge about the topic under consideration, an annotated bibliography, and a list of organizations that can provide additional resources. The synthesis will contain a brief, easy to understand summary of major issues in the area, while the bibliography and related

organizational list will permit identification of specific publications directly related to in-country activities. Illustrative topics for technical packages include:

- Linking training and employment;
- Software packages for simulating educational systems;
- Educational technology for basic education;
- Second language instructional design and methodology;
- Nonformal education for income-producing skills;
- Alternative instructional systems;
- Monitoring and evaluation systems;
- Educational management information systems for microcomputers;
- Use of radio for in-school and out-of-school basic education and teacher training;
- Project design tools;
- Educational survey design; and
- Electronic spread sheets and educational planning.

Three or more technical packages will be produced each year of the Project, beginning with the second year. The initial packages will be designed to meet anticipated information needs. As project activities develop in each country, these needs will increasingly be identified by the users through the IEES RTA, training workshops, and the operation of in-country Educational Efficiency Clearinghouses (described below). In addition to technical packages, documents related to specific country priorities will be provided as needed to develop clearinghouse functions as both disseminators and collectors of information.

Quarterly Bulletin

The purpose of the Quarterly Bulletin is to summarize information on project activities and direct the readership toward sources of further information. It will be published in Summer, Fall, Winter, and Spring issues and will:

- report IEES Project Activities;
- describe activities related to efficiency strategies, especially in IEES countries;
- identify sources of information relevant to specific country activities;
- give examples of outcomes expected from IEES collaborative activities;
- provide a feedback mechanism from the readership to the IEES Consortium; and
- serve as an on-going linkage among participants in the IEES Project.

The Quarterly Bulletin will serve the most diverse audience of all project publications, including:

- host country EHR professionals;
- USAID Mission and AID/W personnel;
- development professionals;
- bilateral and multilateral donors;
- teachers; and
- researchers.

The Bulletin will not duplicate content coverage of the Technical Papers, but may supplement them with updates or additional references. At least two issues a year will focus on a high priority topic related to educational efficiency. These topics will be identified from ongoing project activities, such as the sector assessment process, country plan development, research and training, and networking. A typical issue will have one or more overview articles on the featured topic, a bibliography of related materials, examples of related program or project implementation, a list of organizations providing additional resources, and a section for horizontal linkages among network participants.

The first issue of the Bulletin will serve as an introduction to basic IEES project concepts and activities. This issue will explain the assumptions of the Project, how it is designed, how it is working, and provide examples of educational efficiency strategies in participating countries. Possible topics for subsequent issues of the Bulletin include:

- information needs for educational planning and decisions;
- manpower supply and demand;
- improving donor coordination;
- innovative instructional strategies;
- low-cost approaches to teacher training; and
- computer applications for planning.

Training Manuals

Training manuals will be produced to ensure the transfer of related knowledge and information. The manuals will be directed towards middle

and high-level professionals engaged in educational planning, policy, and operations in participating countries though they may eventually have a wider audience. These professionals play significant roles in host country Ministries of Education, Planning, and Finance, and will be able to undertake further training activities to affect greater numbers of professionals in-country.

The manuals will be pragmatic workbooks for those host country educators to use in undertaking further in-country training. They will be developed from preparatory guidelines developed by project staff, and will be field tested and refined in collaboration with host country educators. The draft manual thus produced will then be field tested in several other locations before the final manual is published.

The first training manual will address the sector assessment process. This manual will be field tested during annual sector assessment updates in participating countries and can incorporate feedback on SA methodology as well as the perspective and tools needed for assessment tasks. It will be designed to train host country educational planners (and other interested host government or donor personnel) in the mechanics of assessment techniques, the rationale behind the techniques employed, and the types of analyses that may be made with various kinds of data. The purpose is to further host country participation in sector assessment updates, to facilitate interpretation, use and critique the assessment, and to suggest to host country educators new approaches and methods which they might use in their everyday planning and evaluation activities.

The topic of the second manual will be determined after the further

development of project activities.

1.6.4 Clearinghouse Network

The project will establish a network of clearinghouses--one in each IEES participating country and one at the central management offices. The function of the clearinghouse network is to facilitate the exchange and use of pragmatic information and appropriate methods for improving educational efficiency.

In-Country Educational Efficiency Clearinghouses

The in-country Educational Efficiency Clearinghouses are information sources for educational and fiscal policymakers and planners in IEES participating countries. Their purpose is to collect and disseminate practical information to support IEES activities in-country. The Country Advisory Committee will identify the appropriate location for the clearinghouse. The RTA will guide the development of the clearinghouse and transmit information or document requests to the central IEES Clearinghouse until such time as host country personnel take over its full functioning. Where an RTA is not in place, the consortium will decide if and when the host country institution will undertake the clearinghouse activity (possibly with the assistance of IEES staff working concurrently in-country). The clearinghouses will begin on a small scale, collecting local documents, providing materials related to IEES activities, and providing referral services through the central IEES Clearinghouse. Their evolution from small collections of IEES activity-related information to operative resource centers, linking a network of in-country planners and policymakers to other country networks, depends upon the support of host country institutions and the

ability of the IEES Clearinghouse to respond to local needs.

IEES Educational Efficiency Clearinghouse

The IEES Educational Efficiency Clearinghouse will support the in-country clearinghouses through provision of information, such as the technical packages and related materials, and through referral to needed documents or resources. The IEES Clearinghouse will function as a referral and access center and will physically hold only documents generated by project activities or directly related to project activities in participating countries. The Clearinghouse will assemble project-related knowledge and information and provide these materials upon request to in-country clearinghouses. A computerized system of document identification and access has been developed and will be maintained and expanded. This system permits quick response to requests and compilation of bibliographies or locations of pertinent resources.

The IEES Clearinghouse will provide to the in-country clearinghouses a small collection of documents to serve as the information base for those clearinghouses. This collection will consist of:

- documents collected for sector assessments, updates, planning or other activities;
- IEES Project reports or other training materials;
- country specific documents generated by other donor agency activities;
- IEES publications and materials (including technical packages and the Quarterly Bulletin); and

- other materials related to research and development, training, and project implementation activities.

1.7 IEES Implementation Strategy

The preceding sections have described the strategies for achieving IEES objectives by carrying out a highly integrated set of activities in close collaboration with host country, Mission, and other donor agency personnel. This section undertakes to develop a strategy for the implementation of these activities within the unique context of each IEES participating country.

1.7.1 Implementation Plan

The IEES Implementation Plan will be developed in collaboration with host country counterparts, Mission and other donor agency personnel and will present IEES activities in support of host government and Mission priorities and plans for the next five years. The plan for the coming year will be developed in greatest detail, while the following years will be less detailed, and subject to annual review and revision in consideration of changing events and priorities in-country as the ongoing process of data collection and analysis provides a basis for more informed decision making.

The implementation plan has multiple objectives. The central objective is to identify priority activities for IEES assistance which will improve the efficiency of resources allocation within the country's education sector and strengthen the institutional and individual capacity of the sector for a fully integrated approach to educational planning and management. The plan will incorporate both country research strategy and the country training plan, relating these critical project activities to the overall context of host country and Mission

priorities and scheduling. A critical component of the plan will be the involvement of the host country and major donors in its preparation. The participation of other donor agency personnel at this point presents the opportunity to coordinate the planning, implementation activities, and the actual scheduling of events in-country to the advantage of both host country and donors. Other donor agency participation in the Country Advisory Committee review process prior to implementation plan activities in-country would ensure effective participation and close coordination. Implementation plan purposes related to this central objective are to:

- a) assist the host country in prioritizing targets in the education sector, and clarifying the interrelationships among the proposed IEES activities in the country with respect to overall goals;
- b) develop institutional and individual capacities for making more efficient use of educational resources;
- c) select and describe activities that jointly address host country targets in the education sector and priority IEES objectives, within the context of the overall rationale that relates these activities to the objectives; and
- d) enhance the acceptance, effectiveness, and efficiency of the proposed long term and short term IEES activities by having them closely coordinated with host country plans and priorities, as well as those of major donors.

1.7.1.1 Sequence of Activities

This section describes the ten activities recommended for the

preparation of the implementation plan, including comments on its annual updates. The recommended level of effort, as well as the sequence of these activities, may vary among countries based on prior IEES work.

Sector Assessment

The sector assessment is the most important and comprehensive foundation document for the implementation plan. The preparation of the sector assessment begins the process of identifying a coordinated set of priority areas for the investments of internal and external resources, and presents a preliminary identification of constraints affecting these investments. In countries in which a sector assessment has not been conducted, but in which a significant number of appropriate prior studies have been conducted, these should be synthesized by an IEES team into a sector assessment-type document before an implementation plan is prepared.

Plan Assignment

The second activity in the preparation of the implementation plan is the assignment of coordinating responsibility for the plan to a consortium member institution. Considerations for selecting the responsible institution should be based on the institution's staff experience in the particular country, particularly with the sector assessment.

Provisional Plan and EMC Review

The team leader of the assigned consortium member institution will prepare a provisional plan of in-country IEES activities based on an

analysis of the sector assessment, other related studies, plans already prepared within the participating country, and any other relevant information available. This provisional plan will be distributed to the consortium EMC with adequate time for discussion and input.

Briefing at AID/Washington

Before the implementation plan team leaves the United States, there should be a full briefing with the team at AID/W. At this meeting the team leader should present a provisional group of possible in-country IEES activities. The purpose of this meeting is to set general limits and a basic focus for the implementation plan, and establish general agreement on the resources available for allocation to support the plan.

Country Visit

The country visit for plan preparation will generally be made by a three-person team working for approximately four weeks. The following objectives should be accomplished during the country visit, with their timing and sequence depending on individual country circumstances and constraints.

- a) Select and clarify the proposed priority areas based on the sector assessment and other relevant activities that have taken place since its preparation.
- b) Clarify the priority country objectives and the IEES Project objectives.
- c) Identify activities to support the priority country objectives and IEES Project objectives.
- d) Identify the key needs with respect to research, training,

knowledge building and networking.

- e) Identify a local institution for the major focus of capacity building targets and provide the rationale for this selection.
- f) Identify key local individuals for capacity building.
- g) Define the skills and responsibilities of the Resident Technical Advisor (RTA) for the country, where such a long term advisor is to be placed to coordinate IEES Project activities.

Draft Implementation Plan

A draft of the implementation plan, whose contents are specified below, will be prepared by the team before it leaves the country. Wherever possible, a working committee should be formed to collaborate with the team on the plan preparation.

Field Review

The draft plan should be reviewed in the field by the host country, the Mission and other major donors. For a final or near-final agreement on the implementation to be reached during the field review, it will be necessary for the provisional group of possible in-country IEES activities, discussed above, to be reasonably firm with agreement on at least a minimum level of effort and total cost over the five-year period.

IEES and AID/Washington Review

After the return of the team to the United States, the draft of the implementation plan will be reviewed by the IEES EMC and the technical staff at AID/W.

Five-Year Implementation Plan

Based on all reviews, the team leader will finalize the implementation plan within six weeks following the receipt of written comments from all reviewers.

Annual Updates

The implementation plan should be updated each year. The updates will require a lesser level of effort than the initial plan, and wherever possible should be integrated with the sector assessment updates. The objectives of the updates are to:

- 1) revise the context of the implementation plan as required;
- 2) review the prior year's work of the IEES Project within the country;
- 3) revise the long term objectives of the plan as necessary; and
- 4) prepare the next year's work in detail.

1.7.1.2 Contents of Implementation Plan

This section describes the recommended contents of the implementation plan. This format should be followed wherever feasible, but each topic should be covered whatever format is used.

Introduction

The introduction to the plan should state its overall purpose as described in these guidelines. It should contain a brief description of the consortium and a summary of the kinds of resources available through the IEES Project.

Context

The context statement for the implementation plan is essentially a synthesis of the sector assessment results. It basically consists of an abstract of the summary chapter of the sector assessment, updated with relevant information from the sector assessment update and other sources. It should focus on a description of the generic needs and constraints reflected in the sector assessment, and cover the six topics described in the following sections:

- a) Overview: Status of Education
- b) Fiscal and Management Capacity
- c) Education and Human Resources Goals and Priorities
- d) Issues and Constraints
- e) Overview of the Subsectors
- f) Priority Needs

Current and Planned Activities

This third major section of the country plan should summarize all current and planned activities in the country that focus on the issues, constraints, and priority needs identified in the preceding section.

Rationale for IEES Activities

The rationale for the proposed IEES activities should provide a clearly stated and solidly based case for the proposed actions.

Proposed IEES Activities

This section is the culmination of the preceding discussions of the context and rationale. It sets forth the specific proposed IEES activities that are the main thrust of the implementation plan, set within the framework of the overall goals of the IEES Project. It should contain a schedule of activities separated into capacity building activities, critical to preparing for the continued achievement of the major objectives of the IEES Project, and the efficiency improvement activities, which are the instructional-level delivery component of the project.

Annexes

The above section of the implementation plan should present only brief descriptions of the activities within the context of an overall schedule. The full descriptions should be presented in the annexes, one for each activity. These annexes should provide complete specifications for each activity, as required for cost estimates, scheduling, staffing, and evaluation. Each annex should provide the following of information for each activity:

- a) Activity Name: concise and descriptive.
- b) Purpose: specification of the immediate and long range outcomes.
- c) Rationale and Description: related to the target opportunities, objectives, and strategies.
- d) Scope of Work: a detailed specification of the processes and components.
- e) Schedule: presentation of the proposed duration and recommended time for each component of the activity activity.
- f) Resources Needed: estimate of the personnel resources and any material and equipment required.
- g) Outcomes: specification of the immediate and quantified outcomes for the activity. In many cases, this will be stated in terms of changes in skills and experiences of the participants. In other cases, it will be stated in terms of a product with specified instructional characteristics and effectiveness.

1.7.2 Resident Technical Advisors

Resident Technical Advisors will be assigned to selected IEES countries to serve as long term project representatives. They will be responsible for the administration and coordination of IEES in-country activities and for the provision of technical assistance in support of project activities. In countries where there is a major IEES project underway, an RTA will not be placed as these functions will be assumed by the project Chief of Party.

The first IEES RTA, Mark Berger of SUNYA, is scheduled to arrive in Somalia in May, 1985. Discussions with Mission and host country counterparts are underway for the possible placement of IEES RTAs in Niger and Nepal.

Tasks and Responsibilities

The major tasks and responsibilities of the RTA will be country-specific and will be defined in the IEES Implementation Plans. These will be reviewed and revised annually. The general requirements and responsibilities are that the RTA live in the participating country and work full-time with host country professionals, USAID Mission staff, and other donor agency personnel to:

- a) identify education sector problems based on analysis of the data contained in the sector assessment and annual updates;
- b) assist host country professionals, the USAID Missions, and other donor agencies in identifying the most appropriate kinds of technical assistance;
- c) assist in developing a country research strategy and in implementing, monitoring, evaluating, and disseminating research and development studies;
- d) assist in planning, implementing, and monitoring programs to improve the efficiency of education and training systems;
- e) provide coordination among the Mission, the IEES Project, and the host country to ensure timely and appropriate technical assistance;
- f) provide in-country liaison preparations and assistance in planning and presenting project training activities;

- g) provide assistance to host country counterparts in organizing in-country Educational Efficiency Clearinghouses; and
- h) oversee in-country networking activities, including responsibility for networking support of workshops.

Liaison Functions

The RTA will perform a major coordinating function for the IEES program by serving as a liaison between the consortium and its in-country development partners, and by linking the various components of the program into an integrated strategy. Program guidelines are currently being developed to define the responsibilities of the RTA in planning and implementing country activities of collaborative research, training for capacity building, knowledge building and networking, and IEES Implementation Plan development.

-

2.0 Project Management

Effective support of field activities in the IEES participating countries requires complex administrative systems within the consortium itself. A description of these systems for the project management, coordination, and evaluation is provided in the following section.

2.1 Direction and Policy-making

Necessary direction and policy-making functions will be the responsibility of the Executive Management Committee (EMC), seconded by four technical subcommittees (TSCs). A description of their respective composition and duties follows:

2.1.1 The Executive Management Committee

The EMC will consist of the Principal Investigator (PI), the Project Director and the Deputy Project Director, all from FSU, and of the Institutional Coordinators from the three other consortium institutions presently actively involved in the implementation of IEES: Howard University, the Institute for International Research and the State University of New York at Albany. It will meet on a quarterly basis, or more frequently as programmatic needs may require. This committee will establish policy and operating procedures for the guidance of the PI, the Project Director and the consortium institutions. Given the heavy travel commitments of all EMC members, each member will designate an alternate so that the committee can continue to function in the absence of one or more primary members.

2.1.2 Technical Subcommittees

Technical subcommittees will be created in four substantive areas of critical importance to the development of the IEES project:

- 1) Assessment and Planning;
- 2) Research and Training;
- 3) Knowledge Building and Networking; and
- 4) Evaluation and Monitoring.

The general purpose of the subcommittee structure is to provide the project with back-up guidance on basic matters of approach and methodology, and to promote optimal utilization of the resources of consortium institutions and the general university community in support of IEES objectives.

Each technical subcommittee will be composed of at least one representative from each of the consortium institutions (one of whom shall be a member of the EMC to assure proper liaison with this policy body), plus from one to three highly experienced and technically competent development educators from institutions outside the IEES consortium. An effort will be made to include within each subcommittee the range of geographical expertise necessary to understand the application of of IEES methodology to the variety of social and cultural contexts in which the project must work. Besides individual competence and experience, criteria for selection of the members will include commitment to project goals and willingness and ability to give time to project-related policy research and field consultancies.

The technical subcommittees will meet at least twice a year, preferably in conjunction with EMC meetings. They will conduct the

remainder of their business by correspondence, telephone conferencing and--when appropriate--joint missions to the field by two or more subcommittee members. The first order of business for each technical subcommittee will be the establishment and submission to the EMC and AID/W of a proposed set of guidelines for IEES activity in the area under their supervision. All four sets of guidelines (sector assessment updates, research and training, knowledge-building and networking, and evaluation and monitoring) will be prepared and approved by the end of the first project year. Subsequently, the technical subcommittees will be responsible for overseeing the development of field activities in their area of competence and apprising project management of technical innovations, policy directions of other national and international bodies and project experiences in other developing countries relevant to more effective implementation of IEES.

The proposed scope of work of each technical subcommittee is defined as follows:

Assessment and Planning Subcommittee

- Formulate and annually revise guidelines for the conduct of sector assessment updates, the composition of IEES Implementation Plans and the contribution of IEES personnel to host country EHR planning.
- Keep abreast of developments in EHR planning, techniques for microcomputer use in educational planning and methodologies of participatory planning, in order to advise and inform the EMC and project staff on these issues.

- Assist in the development, field-testing and revision of the training manual on educational sector assessment.

Research and Training Subcommittee

- Formulate and annually revise guidelines on support for R&D in participating IEES countries and sponsorship of training (short and long term, formal and informal) for host country personnel involved with the project.
- Oversee the identification of collaborating host country institutions, the generation of research agendas and country training plans within each country and the conduct of research and training activities in the field.
- Participate in the preparation of monographs and technical packages based on the results of R&D activities in the field.

Knowledge Building and Networking

- Formulate and annually revise guidelines on knowledge building and networking within IEES, including policy with regard to publications, international conferences and the establishment and operation of IEES Educational Efficiency Clearinghouses.
- Oversee the development of prototypes for major IEES publications and their field-testing in participating countries.
- Play an active role in the planning and organization of IEES international conferences.

Evaluation and Monitoring Subcommittee

- Formulate and annually revise guidelines for monitoring and formative evaluation of all IEES project activities.
- Help to develop and field test instruments for evaluation and for the interpretation of collected data in cooperation with collaborating host-country institutions.
- Participate in the preparation of the IEES Progress Report stipulated in the project contract.

All technical subcommittees will report directly to the EMC. They constitute working groups that will assist and not replace central staff in its implementation responsibilities.

2.2 Coordination and Planning

2.2.1 Intraconsortium Coordination

Intraconsortium coordination will focus on developing the communication channels and structures required for linking consortium institutions.

2.2.1.1 Communications Channels

One component of this plan is the development of a comprehensive strategy for the use of microcomputers with modem capacity for electronic mail to speed the flow of information and distribution of consortium documents.

Electronic linkage has been established between FSU and IIR. Linkage with AID/W and other consortium institutions will complete the system for rapid information flow. The use of an electronic mail service such as MCI Mail will then permit regular intraconsortium communication at all times, as well as international Telex service from participating countries directly to consortium microcomputers.

The IEES Communique, a biweekly intraconsortium newsletter, has been established and regularly informs consortium members of scheduled and tentative project activities, as well as providing a record of all field and member institution activities. Each item in the newsletter is classified into specific project categories for filing and reference access. Each biweekly issue of the newsletter includes an updated six-month schedule of project travel to inform all consortium members of scheduled and tentative travel. The newsletter will be distributed electronically via microcomputer modem as such linkages become operational.

2.2.1.2 Structures

The second component of the plan is the creation of structures to promote maximum participation, input of ideas and expertise, and current information into consortium planning and decision making to support project goals and activities. This has led to the convening of IEES Plenary Forums and the creation of technical subcommittees to support the EMC.

IEES Plenary Forums are convened to facilitate intraconsortium discussion of critical strategy and planning issues. Forum participants include consortium member staff, AID/W S&T and Africa Bureau staff, as well as invited technical specialists. The forum format includes both individual presentations on assigned topics, panel presentations, and reports from special committees and technical specialists. All presentations are followed by responses from consortium staff identified as especially qualified in the discussion area. This is followed in turn by an open discussion during which all forum participants may contribute to the planning process.

A technical subcommittee structure has been created within the consortium staff to permit the further discussion and formulation of guidelines for project activities in the areas of assessment and planning, research and training, knowledge building and networking, and evaluation and monitoring. These subcommittees prepare draft guidelines on matters within their area of expertise and submit these to the EMC. They are further described in the Direction and Policy Making section. In this way maximum advantage is gained from all consortium resources

and the EMC decision making base is increased.

2.2.2 International Coordination

Adequate communication between the consortium institutions and personnel in the field is crucial to the project. Policies and procedures are being developed to facilitate the flow of information in conjunction with the intraconsortium plans described above. The coordination of field activities is complex due to the distances involved and the need to combine planning, monitoring and reporting functions with existing procedures and schedules of AID/W and participating country Missions. The IEES Implementation Plan team will annually review the coordination of activities in-country during the annual implementation plan development activities. The IEES RTA, where present, will have primary responsibility for supervision of this flow of information.

2.2.3 Project Management and the Resident Technical Advisor

RTAs assigned to participating countries will have day-to-day involvement in project activities and therefore play a key role in project coordination in-country. Project management's timely response to RTA questions, requests, and suggestions will be critical both for support of in-country activities as well as project coordination and planning. The slowness of mail and undependability of telephonic communications in many countries require the establishing of procedures and scheduling of reports, such as required telexes from RTAs and field advisors. Planning for these procedures to improve communications require budgetary considerations and guidelines preparation.

2.2.4 Project Management and AID/W

AID/W S&T/Ed provides technical and policy guidance and informs project management of Mission concerns and schedules. Letters, cables and field reports related to policy decisions are expedited to project management and consortium institutions. A direct line of communication connects the Project PI and Director with the CTO for policy discussions and administrative decisions. Rapid electronic communication via microcomputer modem will be utilized for transmission of non-signature documents.

2.3 Monitoring and Reporting

2.3.1. Annual Plan

The IEES project central staff will prepare annual workplans for presentation to AID/W. Annual plans will be based on the following long term policy documents:

- a) the IEES contract;
- b) the various policy guidelines prepared by the EMC and its technical subcommittees; and
- c) the implementation plans drawn up in collaboration with the IEES Country Advisory Councils in each participating country.

Annual plans will include the prioritized set of activities for the upcoming year developed during the implementation plan process in participating countries. These will be justified with reference to the underlying objectives of the project and costed and staffed out to permit the definition of an annual budget. It will be the responsibility of IEES project staff to facilitate proper communication among the policy-making bodies named above so that the activities they propose can be consolidated and prioritized into a strategy for maximum progress toward the accomplishment of project objectives with available resources.

Each technical subcommittee and country advisory committee will cost and staff out the activities that it proposes. In fitting these proposals into an annual workplan and an annual budget, IEES central staff will seek EMC guidance whenever choices must be made among competing alternatives. The budgeting exercise should enable project management to make realistic plans for the allocation of its funds

and staff time and ensure maximum effectiveness in project implementation.

The procedure by which a budget for the upcoming fiscal year is formulated consists of the following stages:

- a) Operational budget limitations are projected by IEES central staff (yearly budget allocation less recurrent institutional costs).
- b) Technical subcommittees prepare funding requests (with rationale) for operating expenditures and prioritized, special project expenditures.
- c) RTAs (or IEES Implementation Plan Team Leaders) with IEES Country Advisory Committees prepare prioritized requests for yearly funding of activities using the IEES Implementation Plan as a guideline.

The above information is reviewed by IEES project staff and a recommendation is made by the IEES Project Director to the EMC for allocation of funds for the upcoming year. If a choice must be made between competing alternative activities, arguments for each option will be presented in writing to the EMC for consideration. Representatives of the requesting subcommittee, RTA, or IEES Country Advisory Committee may be asked to provide additional information.

The EMC will approve the yearly budget after negotiations are complete and submit its report to AID/W.

2.3.2 Formative Evaluation

The formative evaluation system contributes to the accomplishment of the fundamental goals of the IEES Project by providing timely and pertinent information on the implementation and impact of project activities to decision makers at all levels.

During the first project year, IEES will implement a formative evaluation system to be reviewed and modified annually by an evaluation subcommittee composed of representatives of the consortium institutions.

Principles of Design and Implementation

The following guidelines direct the design and implementation of the IEES formative evaluation system:

- a) The evaluation system will be designed from the outset of all IEES Project activities. Because post hoc evaluation cannot provide the timely and useful information required by project managers and decision makers, formative evaluation will be designed as an integral part of the project and specified with other project activities during the planning phase.
- b) The evaluation system will be participative. It will involve both intended beneficiaries of the project and objective third parties in evaluating methods and results. This informs the evaluation process by providing the perspectives of knowledgeable persons, and institutionalizes the evaluation process.
- c) The evaluation system will emphasize the appropriateness of project methods to their socio-cultural settings. Though

designed to refine operational approaches for improving educational planning and information-based decision making, IEES will not prescribe specific procedures for all variety of socio-cultural settings in host countries. Recognition of variation is critical to successful project implementation. Identification of these factors is an important function of evaluation. Evaluation procedures must be flexible and sensitive to detect the subtleties leading to success or failure of project activities.

- d) As project objectives can (and often should) change over time, the formative evaluation system will recognize when conditions require change and convey this information rapidly to decision makers.

System Components

The formative evaluation system has three integrated components: a monitoring component, an evaluation component, and an impact assessment component. These components function to achieve the specific objectives of the formative evaluation system:

- a) Supplying to IEES Project managers the routine information and data required to determine whether planned project activities are progressing as designed (on schedule, anticipated levels of inputs, fulfilling specified outputs). This level of the formative evaluation system is the monitoring component. Methods to identify problem areas as they arise will also be built into activities as part of this level of the formative

evaluation.

- b) Providing IEES Project planners and policy makers with the more broadly based and substantive information required to review and revise existing project plans and policies and prepare future plans and policies. This information will encompass examination of the environmental factors and conditions, organizational structures, and personal dynamics that influence the success or failure of certain types of activity.

This is the evaluation component of the formative evaluation system.

- c) Establishing an information and data base for the summative evaluation of the IEES Project. This is the impact assessment component of the system. It also provides useful information for planners and policy makers, but is primarily designed to provide information on indicators of project success over the long term.

Monitoring Component

The purpose of the monitoring component of the system is to continuously review the critical aspects of all project activities to determine whether specified scopes of work, work schedules and desired outputs are being delivered according to plan. Monitoring also provides a continuous log of project implementation to serve as an essential reference and baseline for other components of the formative evaluation system. Monitoring activities will be built into the regular IEES reporting mechanisms (trip reports, RTA reports, etc.) and designed to provide the IEES Project managers with the information they require to

keep abreast of project activities, pinpoint problem areas rapidly, and suggest remedies. The critical aspects to be monitored within each project activity will be identified during the activity planning phase. The specific indicators and mechanisms for obtaining required information should be developed immediately thereafter.

Evaluation Component

The purpose of the evaluation component of the overall system is to assess how project activities are contributing to the overall goal of improved efficiency and capacity building, and to feed this information back to project management at all levels for progressively revising and improving IEES methods in the field. This component is also designed to provide an understanding of why certain activities may or may not have been successful. The evaluation work should draw upon the information provided by the monitoring component of the system, but will further assess the interim effects of project activities, the views of IEES Project clients (host country institutions and USAID Missions), as well as knowledgeable persons outside the project, regarding the effectiveness and appropriateness of IEES methodology. The questions addressed here are whether the project is meeting the actual needs of participating countries, how well its methods are adapted to these ends, and whether alternative mechanisms can be identified to deliver benefits more effectively (in a less expensive and/or time-consuming manner). This information will be used by IEES Project managers to refine project methodology and by project planners to design new efforts to meet the needs of participating countries.

A formative evaluation component will be built into all main project events (training workshops, sector assessment updates, IEES country planning, networking conferences, etc.). Every IEES team going to the field will have formative evaluation tasks to complete.

Impact Assessment Component

The final function of the formative evaluation system is to assess project impact on improving efficiency and institutional capacity building. The measurement of progress toward these goals is the uppermost concern of project management at all levels. Though it is not the responsibility or concern of IEES personnel to conduct a full summative evaluation of their own activities, it is essential that they begin to elaborate the indicators and data collection procedures that will make fuller impact assessments possible, and that they introduce this focus into project planning. The essential purposes of the impact assessment component of the formative evaluation system are to:

- a) to obtain baseline data necessary for the measurement of change;
- b) to identify appropriate indicators of both positive and negative project impacts; and
- c) to design and conduct data collection procedures necessary to track these indicators.

These efforts will be initiated with the development of the IEES implementation plan.

2.3.3 Formative Evaluation System Design Process

The Executive Management Committee will identify representatives from each of the IEES Consortium institutions to serve on the Project

Evaluation Subcommittee. This subcommittee will meet on a regular basis to review and refine the evaluation systems and plan new evaluation activities. The first priority will be to design the monitoring system, and to specify questions to be answered and feedback needed to ensure optimum implementation of core IEES activities (sector assessments and updates, implementation plan development, field project design, etc.). Many of these activities are already underway, and systematization of feedback and monitoring will begin without delay.

The subcommittee will also design the evaluation component of the system. This involves more detailed examination of project methods and effects. It may take the form of qualitative case studies. The following topics may be addressed by the evaluation component:

a) Sector Assessment Process

- evaluation of use and utility of sector assessments already conducted;
- views of host country officials and AID Mission staff on the most effective and efficient approaches to sector assessments and sector assessment updates; and
- try-out of refined approaches and feedback on which seem most effective in various conditions and circumstances; and especially in the area of increasing participation of host country nationals.

b) IEES Implementation Plan Development

- documentation of the process used in developing IEES Implementation Plans and feedback on ways in which the planning process can be improved;
- determination of the correspondence between implementation plans and the priorities and recommendations contained in sector assessments and sector assessment updates;
- examination of the relationship between implementation plans and local projects or activities that evolve from them (or exclusive of them); and
- determination of, and suggestions to improve, the level of involvement of host country nationals in the planning process.

c) Research, Development and Training

- documentation of the process by which R&D activities are developed in each country, and feedback on their strengths and weaknesses;
- assessment of the R&D support services available locally (i.e. data collection and analysis capacities, trained and experienced field research staff, logistical support) and views and recommendations from local and visiting experts on how R&D support services can be improved;
- determination of the long range impact of R&D efforts in meeting national needs and setting future priorities;
- examination of ways for refining systems by which USAID missions and host country governments identify local training needs;

- feedback from participants in R&D workshops, SA update workshops and other IEES training activities as to the relevance and value of these activities in upgrading their workskills and obtain recommendations for improvement;
- determination of the overall impact of IEES training activities on raising levels of expertise and improving local capabilities in research and evaluation, planning, policy making and project implementation; and
- determination of the long range consequences of IEES training efforts, both intended and unintended, upon the development of local capabilities.

d) Project Planning and Implementation

- documentation of the process by which IEES field projects are planned and implemented;
- examination of the relationship between field project objectives and the (possibly changing) needs and priorities in the EHR sector in each country;
- information on the reasons for success or failure of project activities in each country as perceived by host country decision makers, USAID Mission staff and field project staff and consumer audiences;
- identification of ways to ensure that experiences and recommendations from field project activities feed back into the on-going process of research and development, implementation planning and SA updating; and

- identification of some of the long term consequences of field projects on their participants and others, or ways in which this information might be obtained in the future.

e) Knowledge Building and Networking

- feedback from audiences as to the relevance, utility and timeliness of publications, training manuals, technical packages, etc. produced by the IEES Project and recommendations for their improvement;
- determination of how and when IEES documents and publications are used locally in order to specify the types of information most useful to clients in host countries;
- determination of the level of utilization of the IEES clearinghouse network and obtain recommendations for improvement; and
- examination of the factors which support or inhibit exchange and communication among host countries.

2.3.4 Progress Reports

Progress reports will be submitted semi-annually by the IEES project. The first report was rescheduled due to planning priorities and will be submitted in April, 1985. The second is scheduled for submission in June, 1985. These progress reports will review the work accomplished in relation to annual workplan projections. They will address any shortfalls in planned activities, identify the reasons for such shortfalls, and recommend actions designed to remedy any problems. The reports will contain a financial projection of expenditures for the remainder of the year.

A financial report will be prepared in each quarter for which a complete progress report is not submitted. In the 1984-85 fiscal year, these financial reports will be submitted in December, 1984, and June, 1985.

2.3.5 Activity Reports

Other reports to be submitted in the 1984-85 fiscal year include:

- a) sector assessment reports for Haiti and Yemen and sector assessment updates for Botswana;
- b) trip reports by all staff members or advisors traveling on IEES project activities; and
- c) miscellaneous workshop reports, field reports, and research and evaluation studies.

2.4 Project Staffing and Participating Personnel

2.4.1 Senior Staff

Robert Morgan, Principal Investigator, Florida State University (FSU)

John Bock, Project Director, FSU

Milton Adams, Deputy Project Director, FSU

Victor Cieutat, Institutional Coordinator, Institute for
International Research (IIR)

Douglas Windham, Institutional Coordinator, State University of
New York at Albany

William Howard, Institutional Coordinator, Howard University

The contract-authorized persons listed above have been performing those tasks described in the Technical Proposal (pages 237-56 Volume I). In addition, Adams, Cieutat, Howard, Morgan and Windham have served on field assignments ranging from PID and PP preparation to sector assessments in Botswana, Haiti, Somalia, and Yemen. Bock has been responsible for recruiting staff for the IEES Project Management at FSU, and establishing a sound organizational and administrative base for the project. He and his staff have been responsible for the preparation of this first Annual Plan, the drafting of the Quarterly Bulletin and project brochure, and developing the IEES Clearinghouse network, as well as developing procedures for the formative evaluation and semi-annual progress report.

2.4.2 Other Project Staff

Three other staff positions also serve the project. These positions are held by Peter Easton and Jerry Messec, FSU, and Mary

Piggozi, IIR. Their responsibilities include central management functions of administration and supervision, planning for research and training, knowledge building and networking activities, publications and reporting, as well as field consulting functions in participating countries.

The workload for these positions is divided between project management responsibilities and specific host country activities. Piggozi and Easton participated in the Haiti sector assessment. Prior to arriving in Haiti, Easton joined Joan Claffey, AID/W S&T/Ed and Project CTO, and Victor Barnes, AID/W Africa Bureau, for a preliminary visit to Niger. Messec participated in the IEL II project paper team with Edward Kelly and Douglas Windham in Liberia in June - July, 1984, and worked with Windham and David Chapman in Somalia in February, 1985, to complete the Somalia Management Training and Development project paper.

The staff bring strong professional and personal resources to the project which qualify them both to play a leadership role in project management and planning, and to work effectively in collaboration with Mission and host country personnel.

Graduate research assistants are employed on the IEES Project and serve in a dual capacity: 1) as a manpower resource to be drawn upon for special substantive efforts requiring relevant knowledge and expertise in fields directly related to the IEES Project, and 2) as co-workers assigned to a central staff professional to back up that staff member in key operational functions. Because of the demands the project places on its graduate assistants, students assigned to these positions must have substantial experience and training in fields objectives in order to

contribute to achieving IEES Project objectives.

At the present time, two graduate assistants work with the project at FSU. Doran Bernard and Dawn Pollock bring strong backgrounds in project management and administration, as well as educational planning and evaluation. Each is assigned to one of the major central office functions -- central office management, field and technical support. These graduate students have extensive work experience in areas of organizational management, international development education, and instructional systems design, both domestic and international. The IEES Project will maintain this high caliber of graduate student assistance in the future -- expecting of them a level of professional work which contributes to the critical needs of the IEES Project.

2.4.3 IEES Consortium Technical Advisors

The activities performed by the IEES consortium to date have been staffed predominantly, though not exclusively, from within the consortium itself. This ratio of inside/outside staffing is predictive of future staffing patterns and consistent with our intention of selecting the best available consultants for specific tasks. In all cases, consultants within the consortium will be considered first, subject to time availability and other significant criteria.

The procedure for selecting consultants is as follows: The Executive Management Committee (EMC) selects a key member of the consortium, usually a EMC member, to serve as task leader. The task leader is then responsible for identifying, nominating, and recruiting, other consultants required to conduct the activity. The task leader

seeks the advice of colleagues within the EMC, initially considering consultants within the consortium. If the appropriate person is not available within the consortium, the task leader requests nominations of outside consultants. In some cases an USAID Mission or Regional Bureau may request the services of a specific consultant. Having compiled his nomination(s) for team members, the task leader submits these nominations to the EMC. The final decision within the consortium, however, rests with the Principal Investigator and Project Director. If for any reason a nomination is seriously questioned at this level, the task leader may be asked to consider an alternative candidate. The final nominations are then submitted to AID/S&T for approval, Mission and country clearance, and to AID/Contracts and Grants for rate approval.

In the event that AID/S&T has suggestions or reservations regarding the composition of the team or the qualifications of a proposed advisor, the consortium will attempt to be responsive to those concerns. The consortium must rely upon the judgment of those senior IEES members responsible for staffing the task since it is upon their expertise that the success of the specified task ultimately rests.

The following persons from within the consortium (not including the above listed core personnel) have been and will continue to be tasked to staff IEES activities:

Steven Anzalone, IIR

Joseph Applegate, Howard

David Chapman, SUNYA

Fredrick Dembowski, SUNYA

Peter Easton, FSU

Paul Emoungu, Howard
Frances Kemmerer, SUNYA
Edward Kelly, SUNYA
Jerry Messec, FSU
Mary Piggozi, IIR
Paul Voight, SUNYA

2.4.3.1 Outside Technical Advisors

A number of consultants have been recruited for specific tasks from universities and agencies outside the consortium. The following outside consultants have been employed by IEES during the first six months of the project:

David Barker, FSU
Richard Greene, FSU
Louis Woo, SUNYA
Roger Wilk, FSU
Bascom Story, FSU
May Rihani, SUNYA
Hind Nassif, SUNYA
Benoit Millot, IIR
Lela Vandenberg, IIR

These people were selected because they possessed special qualifications or experience unavailable within the consortium or because the preferred person from within the consortium was not available at that time.