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Improving Utilization of Aid Experience and Evaluations

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IMPROVING UTILIZATION OF AID EXPERIENCE AND EVALUATIONS

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EXECUTIVE SUMMARY

A. Overview

The 1980 Evaluation Task Force of the Agency for International Development identified inadequate utilization of the Agency's experience as a priority focus for A.I.D.'s staff. In June 1982, the GAO reinforced A.I.D.'s concern for the utilization of its evaluative information in a report on "Experience -- A Potential Tool for Improving U.S. Assistance Abroad." This study of opportunities to improve the utilization of A.I.D.'s evaluative information is one of several actions initiated by A.I.D.'s Office of Evaluation in the Bureau for Program and Policy Coordination based on the recommendations of the 1980 Evaluation Task Force. It also responds to concerns expressed in the June 1982 GAO report.

The study, carried out by Arthur D. Little, Inc., was divided into two phases. During Phase I, interviews were conducted with A.I.D. staff in Washington. From these interviews, Arthur D. Little elicited a total of 43 suggestions for innovative practices which could facilitate improved utilization of A.I.D.'s evaluative information. Phase II of the study was devoted to testing seven of these innovative ideas and to the further refinement of ideas which A.I.D. might itself test in the coming months and years. Through the institutionalization of ideas tested during this study and the pursuit of other innovations identified by the Arthur D. Little effort, it should be possible for A.I.D. to make major improvements in the utilization of experience.

B. Study Findings and Potential Innovations

In the course of the interviews conducted for this study and through the examination of A.I.D. documents, Arthur D. Little identified three types of impediments to the utilization of evaluative experience:

- Problems with the "products" themselves -- evaluations and other documents may not effectively distill information on past experience in a way that is readily usable;

- Problems with the systems for identifying and distributing information on experience, most notably with respect to the Development

Information System (DIS), an automated data base which was created in 1974 to serve A.I.D. as a "memory" on project design and evaluation information.

- An absence of bureaucratic motivation impelling the A.I.D. staff to take account of experience or to record such experience as they may know and understand.

Concurrently, Arthur D. Little found that A.I.D. has an important oral tradition for sharing information on experience, which relies heavily on personal contacts. This oral tradition is one of the strong building blocks upon which innovations can and should build as A.I.D. tries to better utilize its experience.

On a broad scale, A.I.D. is not taking full advantage of the unique development information resources it possesses. A.I.D. has a few Mission libraries but no formal policy or program encouraging missions to create development information centers overseas upon which host nationals as well as A.I.D. staff might draw. Similarly, current A.I.D. studies of future needs for Mission automation do not seem to be taking into consideration the possibilities for facilitating Mission access to the totality of A.I.D.'s "memory" by allowing them to draw information A.I.D. has already automated and stored in the DIS into the Mission via future data transfer arrangements. The opportunities for A.I.D. to take a leadership role in the world with respect to the application of development information to development problems are tremendous, but A.I.D. must act on them if it wishes to assume such a leadership role.

Action on these major agenda items goes well beyond the scope of the present study which necessarily dealt with experiments that could be conducted during the course of the contract period. The experiments were selected as a manageable subset of the full list of 43 ideas generated during the study interviews (plus six ideas generated after the interviews, for a total of 49 potential innovations).

The list of innovations, suggested largely by A.I.D. staff clustered into three distinct groups. Highlights are shown for each group in the lists below:

- <u>Improving Information on Experience</u>

  Most of the ADL experiments listed above were in this category, thus many of the innovations

noted below should be considered ready for adoption:

- Prepare brief summaries of key lessons learned across a number of impact evaluations in a single area of development -- an example was created for agricultural research and reviewed by A.I.D. staff in key bureaus.*

- Develop short synthesis of data available from the DIS on evaluation in a particular field -- an example was developed for high level manpower training programs to support a PPC policy development effort.*

- Improve evaluation summaries, capturing the critical elements of interest to policy makers and project designers.*

- Improve abstracts by requiring authors to prepare these abstracts highlighting key findings.*

- Provide methods for the reader to assess the quality of an evaluation, including:

  -- inclusion of Mission comments on the reliability and utility of findings in evaluation summaries; and

  -- Office of Evaluation comments on the technical quality of the evaluation, possibly based on the quality scoring system now being tested in PPC/E/PES.

- Develop more case studies of successful A.I.D. projects, including very long term (e.g., 20-30 years) retrospective analyses which cover the complete evolution of A.I.D. funded actions.

- <u>Improving the Communication and Dissemination of Information on Experience</u>

  The majority of the innovations in this category deal with the DIS and its management by A.I.D.'s Office of Development Information, which during the course of

* Asterisk denotes experiment carried out and included in the Appendix to this report.

this study was being transferred from the Science and Technology Bureau to the Bureau for Program and Policy Coordination. As a function of that transfer, DIS related experiments were not undertaken by Arthur D. Little. They should now be undertaken by PPC. The important improvements suggested in this area include:

- Development of the capacity to search DIS files within a Mission, either by the use of disseminated DIS disks and software for use on Mission computers, or direct data links to the system in Washington. (Data prepared by S&T/ED suggests interconnection costs for microcomputer links between A.I.D./W and overseas posts to be fairly modest.)[1]

- Improved training on the use and benefits of DIS, including test marketing of new explanatory programs for Mission staff and an improved brochure on DIS.

- Improved DIS sort and search capabilities to narrow and better target the amount of information provided in response to a request.

- Reinstatement of the DIS Analysis Unit per the GAO recommendations, and/or expansion of research assistant type staff at the Bureau level, to permit the preparation of brief targeted summaries of DIS information prior to project design, review, or the preparation of policy guidance.[2]

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[1] Future action in this area depends heavily on current decisions about Mission data processing. Telecommunication cost estimates, based upon work done in the Rural Satellite Program, suggest that 10 pages of DIS data per week could be transmitted to a Mission at a cost of $1700 - $2500 per year (Rural Satellite memo of 1/14/83).

[2] Note the synthesis of evaluation reports on high level manpower training programs which was prepared as an example of this type of user oriented post evaluation product.

- Development of a formal policy and program for supporting Mission libraries/information centers.

- Structural Changes and Incentives for Using Experience Based Information

  By their nature, experiments in this area are experiments which A.I.D. itself must undertake. The high priority innovations in this area include:

  - Contract requirements for consultants to perform a DIS search prior to preparation of PID's, PP's policy analyses and other studies.

  - Required inclusion of a bibliography in PP's and other forward looking documents.

  - Better enforcement of the existing injunction conditioning the approval of subsequent phases of project funding upon objective evaluations of preceding phases.

  - Improve linkage between impact evaluations and priority policy and budget decisions in the Agency.

  - Encourage staff to write case studies and analytic articles by commendation or assignment policies.

  - Reward those who review past experience in preparing CDSSs, project papers, policy papers and other forward looking document.

Through experiments undertaken as part of this contract, Arthur D. Little tested a number of these ideas with A.I.D. and developed sample products and guidance which the Agency can begin to institutionalize. The experiments undertaken fell largely within the first group of innovation ideas: those dealing with improvements in evaluation products. The experiments are described briefly here:

- Synthesizing multiple impact evaluations into concise two page summaries of findings and lessons. The sample prepared under this contract and reviewed widely in the agency was for the agricultural research area. Based on the

guidance which accompanies this example, A.I.D. should be able to prepare similar two page summaries for the other areas on which it has already or will examine through its impact evaluation program.

- Summarizing material in the DIS data base into a readily usable form in response to particular needs. The sample prepared under this contract focused on high level manpower training and responded to an A.I.D. need for information on experience in conjunction with the development of an agency policy paper. Guidance on developing future tailored summaries is part of the experimental work completed in this area by Arthur D. Little.

- Writing concise, to-the-point summaries of individual evaluations. The sample developed in this area built upon previous work in PPC/E/PES, Asia Bureau and in the Africa Bureau, considering all of the elements of an evaluation summary each considered important. Again, guidance is part of the package included in the Appendix.

- Improving abstracts for entry in the DIS: shifting the responsibility to study "authors" to prepare abstracts following A.I.D. guidance. Guidance and examples were producted by Arthur D. Little under this contract. Adoption of this practice, considered the norm in many government agencies, would have the secondary effect of freeing resources now devoted to abstracting for other important tasks, e.g., the preparation of summaries of DIU materials, etc.

- Creating more "case studies" of A.I.D. experience which serve as a training device for Mission staff as well as new employees. The sample case prepared by Arthur D. Little deals with BANEX, a project which is attempting to implement the A.I.D. private enterprise development initiative. Guidance on case study preparation was also developed.

- Enhancing A.I.D. reporting on evaluative information by including Mission comments on the quality and utility of evaluations in evaluation summaries and amending current implementation

reporting practices to include Mission judgments concerning the prospects for achieving the objectives of mission-managed projects and programs on a routine basis.

- Strengthening host country participation in evaluation work using the experience of missions which do this well as a guide to other missions. Arthur D. Little prepared a synthesis of mission-generated ideas on involving host nationals as one of the study products with the idea that this synthesis of ideas might be incorporated into A.I.D. evaluation guidance.

C. Conclusions and Recommendations

Innovations which facilitate A.I.D.'s application of experience can be undertaken and institutionalized by A.I.D. The processes Arthur D. Little followed in the course of this study did not require skills A.I.D. lacks; they did, however, require a commitment to improve internal communication between those who produce evaluations and other reports and those who try to read and use them.

Better communication between "producers" and "consumers" of information is a first step in any attempt A.I.D. makes to improve the utilization of its experience. In each Arthur D. Little experiment this principle was demonstrated anew; it is a principle which both "producers" and "consumers" would do well to apply on a routine basis. Too often evaluations and other reports on A.I.D. experience are prepared without prior discussions with those who will have to try to use them. Similarly, "consumers" who are not finding what they need in such products have not provided the feedback which could improve the quality of A.I.D. experience based documents. Within A.I.D., the "providers" and "consumers" of information -- evaluation information or technical information -- need to see themselves as more of a "team" if A.I.D. is to make major changes in the degree to which it applies experience. The interaction between "producer" and "consumer" can be the source of ideas for innovation, such as this report offers the agency.

By implementing the recommendations which arise out of this study, A.I.D. can improve its programs and projects. These improvements can also enable the agency to become a leader on an international scale through an organized and

state-of-the-art approach to accessing and applying information and transfering that skill to the developing countries with which A.I.D. works.

1. Immediate Action A.I.D. Should Take

   a. Assign staff to prepare syntheses of multiple Impact Evaluations following the guidelines developed in preparing the sample summary on agricultural research.

   b. Issue administrator's guidance to all Missions and Bureaus based on these summaries.

   c. Finalize improved evaluation summary, and user guidelines for the revised evaluation summary, in the Project Evaluation handbook.

   d. Issue instructions for future evaluations to have abstracts prepared by evaluation authors according to agreed guidelines. Use these author-prepared abstracts in DIS.

   e. Develop improved user guidance and training programs for the Development Information System (DIS).

   f. Issue instructions in the Evaluation Handbook for inclusion of Mission comments in published evaluation reports.

Longer Term Action

1. Incorporate in current information systems and communication planning for the Agency the capability for direct Mission access to DIS, and encourage intractive use of DIS as this technology is made available.

2. Increase capacity to summarize and use existing evaluation data by providing organizational support and resources through one of the following methods:

   a. Establishment of an analysis unit to summarize available information in the DIS in response to Agency inquiries.

   b. Hire research assistants in major Bureaus to prepare summaries of DIS information prior to major decisions and project or policy review.

3. Incorporate in future consulting contracts a requirement that consultants perform a search of relevant DIS files before undertaking an assignment.

4. Provide career incentives for publication of articles and books on A.I.D. experience by A.I.D. staff.

5. Increase involvement of host country personnel in evaluations by providing suggestions for facilitating host country involvement in the Evaluation Handbook, and by more actively encouraging involvement of host country nationals in evaluation design and use of evaluation findings.

SECTION ONE

BACKGROUND AND OBJECTIVES

A. Background

A.I.D. has made an extensive commitment to evaluations which assess the effectiveness of development programs and, in principle, to the use of these evaluations as a basis for forward looking decisions. Missions have appointed evaluation officers, Bureaus prepare annual evaluation plans, and an evaluation office has been created within PPC. Beginning in 1979, Mission and Bureau managed project evaluations were supplemented by centrally managed Impact Evaluations, conducted after completion of a project and designed to determine the effectiveness of a project or type of project in promoting development. With substantial effort, the Agency constructed an automated institutionalized memory -- the Development Information System or DIS[3] -- to store and retrieve project design and evaluation documents and to provide a "corporate memory" of experiences learned in past projects.

In 1980 A.I.D.'s Evaluation Task Force recommended that the Agency begin to examine ways in which it could make better use of the findings from its evaluations. At about the same time, the Senate Foreign Relations Committee (Report 96-732, May 15, 1980) urged the Agency to establish a system for distributing the results of its evaluations to employees who are responsible for project planning, design and implementation so that the lessons learned from evaluations may be incorporated in future projects. The Committee expressed the view that prior to approval of a new project, the Agency should systematically review the lessons learned from implementation of projects carried out in the same country or region. These recommendations were reinforced by a 1982 study in which the GAO called upon A.I.D. to improve its utilization of evaluation findings. Some of the items identified in the GAO report and the practices urged by the Foreign Relations Committee were already receiving attention from A.I.D. management.

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[3]The DIS is operated by A.I.D.'s Office of Development Information and Utilization (DIU) which during the period of the study moved from the Science and Technology Bureau to the Program and Policy Coordination Bureau.

The Agency has taken a number of steps in different areas to improve the use of information on its own experience. Prior to 1980, the numbers of required evaluations had been reduced and scheduling flexibility increased; after 1980 A.I.D. began to actively discourage Mission evaluations which were not needed as a basis for decisions. This enabled Mission to perform fewer evaluations of higher quality, targeted to project decisions. Efforts to develop procedures for rating the quality and reliability of evaluations were undertaken in PPC. Regional Bureaus were increasingly dividing projects into phases, with approval of funding for subsequent phases dependent on evaluation of completed phases. Recognizing the important experience of its staff members, the S&T Bureau began providing assistance in the preparation of articles on significant A.I.D. accomplishments, while the current A.I.D. Administration reinstated a requirement for "end-of-tour" reports by Mission Directors to capture the lessons to be learned from management in the field. In 1983, the Administrator's office began a program to write up and distribute case studies on successful A.I.D. projects that seem worthy of replication.

As part of this overall effort to improve use of A.I.D.'s corporate memory, Arthur D. Little, Inc. was commissioned to identify mechanisms and procedures which could improve use of existing evaluations and other experience based information. Specifically, the contract team was to:

- Develop ideas for improving information use based on an analysis of the reasons why this information was not being used.

- Specify, and where possible, carry out experiments to test ideas for improved use of experience based information.

Early in the study the Arthur D. Little team interviewed over 40 Agency officials; met with Congressional staff officers; and read a variety of evaluation reports and other material. We examined the ways in which evaluation material is presented and disseminated, and the ways in which it is used (or not used) in Agency operations and decision making. We were not charged to review the quality of evaluations, as another contractor to PPC/E/PES was already engaged on that task. Our concern was with <u>utilization</u> of evaluation reports and other experience based information.

As the study progressed there was opportunity to discuss one aspect or another of our findings with additional A.I.D. officers bringing the total interviewed to over 70. A special effort was made to meet with overseas staff during TDY visits to Washington and with foreign service staff recently assigned to headquarters. One member of our team was able to visit the U.S.A.I.D. and REDSO Missions in Nairobi and interview 15 resident staff. A standard set of questions was used for the interviews. Emphasis was given to documenting how the A.I.D. staff and the Agency transmits experience from person-to-person, what techniques and facilities are used, and the role of evaluation reports in this process. We sought ideas and suggestions from A.I.D. staff for ways to improve dissemination of experience based information. The list of interviews and interview questions appears in Appendix A. Through this interview process Arthur D. Little identified 43 potential improvements in utilization.

In November, 1982, A.I.D.'s Office of Evaluation circulated our interim report to some 50 headquarters staff officers. They were asked to complete a form indicating the priority they would attach to the 43 suggested improvements in utilization of evaluation findings. (The list was later increased to 49 items.) The purpose was to involve the users of evaluations as well as those who produce evaluations in the selection of experiments to determine which possible improvements should be carried out and in what order, and to involve users in those experiments which aim at making it easier to access and apply evaluation findings. The "voting" was completed in early January, 1983. Twenty-one items were identified from the voting results to be of high priority to the user community.

The identification of high priority innovations, which occurred roughly halfway through the contract period, completed the first phase of our work.

Phase II of the contract was devoted to the conduct of experiments in improving utilization based on the results of our Phase I work. From the priority list of innovations the Arthur D. Little team was asked to carry out seven activities covering ten experiments. These were items considered appropriate for contractor performance as well as items feasible for the contractor to complete by the end of the contract period March 31, 1983.

SECTION TWO

STUDY FINDINGS

A. Overview

We found that there is extensive use of experience information, but this is most often accomplished through personal contact. Despite its documentation requirements, A.I.D. appears to have very much of an oral tradition in communicating information on past experience. Even important written materials such as evaluation reports are often used only when circulated by individuals, who are impressed by the document and refer it to their colleagues.

The structural barriers to use of experience based information are several. Smaller staffs, shorter tours in hardship posts, limited or non-existent overlap between succeeding officers, and increasing reliance on contractors make more difficult the effective use of the oral tradition. Evaluation reports have little effect on the allocation of Agency funds, in part because the Agency's program is substantially constrained by legislative mandate, political priorities, and financial factors which bear only a limited relationship to the Agency's examination of its past experience. The evaluation system itself has been designed to facilitate program replanning and the possibility exists for evaluation reports to play a larger role in future management decision.

Use of the agency's automated "institutional memory" -- the DIS -- is variable and inhibited by a number of factors. At higher levels in the Agency knowledge of DIS and its capability is sketchy to non-existent. Logistical difficulties and a perception that a DIS search will produce large volumes of "undigested" material compound underutilization of system capabilities. Gaps in holdings of more recent documents, due to budget cuts and system modifications, have introduced a further strain on staff willingness to tap the corporate memory. The relatively low frequency of current use by Agency staff members limits the return on A.I.D.'s substantial investment in the system.

B. A.I.D.'s Oral Tradition -- The Informal Network for Passing Along Experience

We found evidence that A.I.D. staff already makes extensive use of experience based information. Currently, this use is most often accomplished through personal contact. Despite its heavy documentation requirements, A.I.D. appears to have very much an "oral" tradition in passing on information on past experience. This happens extensively within a Mission. The process is improved by reference to local and national employees of long tenure but is hampered by reduced staffs, assignment policies or hardship posts which reduce the tenure of project officers, and limited overlap in posts. This transmission of experience also occurs in the hierarchical review process. Even when a reviewer does not have personal experience with a problem, he may refer to a respected colleague to secure information pertinent to a review he is undertaking. A substantial amount of this information transfer also occurs outside of the review process through seminars, consultations and informal means. Even important written material such as evaluation reports are often distributed along this informal network, with readers who are impressed by the document referring their colleagues to the work.

This personal or oral tradition for passing on experience based information has been reinforced by organizations within A.I.D. which maintain a focus on a particular subject area. The population program was often cited as an example of an organization which effectively transferred information between countries and projects. Semi-formal intra-agency groups have formed in specific sectors, and the Agency has now attempted to formalize this process in the Sector Councils which are developing strategies for several technical areas. The inclusion of experts from S&T in design teams, and the use of experienced contractors or university consultants further extend this process of oral information transfer.

C. Institutional Transfer of Experience

Use of the Agency's "institutional memory" in the DIS was found to be variable and affected by the factors discussed below. However, the use of the critical documents contained in this system is wider than the number of DIU searches would indicate. In the development of the Sector Strategy papers, for instance, many of the authors have previously read the key evaluations and academic works in

the area and have internalized these findings so that they may surface in the strategy papers without specific reference to a document.

Factors in the Agency which generally encourage the use of experience based information may be summarized as follows:

a. Tradition of professional interaction between Agency personnel;

b. Development of a cadre of professionals in the Agency who focus on a single program across countries (i.e., population);

c. Use of S&T, university or consultant experts who serve as a repository of knowledge for those in the field;

d. Reference to project files (and end of tour reports, where available);

e. Use of foreign national employees as a kind of "corporate memory" within a Mission;

f. Review of new PID and PP documents at the Bureau level, which allows application of the personal experience of the reviewers;

g. Division of some projects into phases, and a developing requirement for evaluation and response to evaluation findings prior to funding of subsequent phases;

h. Interactive conferences, including those on Impact Evaluation reports organized by PPC; and Mission Director or specialist conferences organized by the Regional Bureaus and S&T;

i. Opportunities for newly assigned project officers -- notably IDI's -- to research their area of responsibility and contact those with prior experience prior to their initial assignment. This oral interchange with Washington staff also occurs during TDY for more senior officers; and

j. A.I.D.'s use of Project evaluations and audits as tools in negotiating with host governments to re-orient project management and overcome problems.

D. The Problems

While the use of experience based information in the Agency may be underestimated by the casual observer, there are a number of significant barriers to the improved use of evaluations and other experience based information. These barriers can be divided into three categories:

a. Problems with the "products" themselves, evaluations and other documents which may not effectively distill information on past experience in a way that is readily usable.

b. Problems with the system for identification and distribution of information on experience, notably DIS. It should be noted that problems with DIS have been exacerbated by budget cuts, as noted in the GAO report.

c. A lack of bureaucratic incentive within the Agency to set down in writing information on past experience or to use the documentation on experience which is available.

The press of responsibilities in the field is cited as a major reason why DIS and other sources of written material are not more widely used in project design and review. Large quantities of written material distributed by the Agency create a perceived condition of "information overload" where important information on experience may be overlooked. Some respondents thought this condition was exacerbated by the large volume of material provided in DIU searches and the failure to adequately distill findings and "lessons learned" from evaluations and past experience into more concise and usable form. Wider use of evaluation reports is inhibited by a problem already identified by PPC; the variability in the quality of evaluations and the inability of the unfamiliar reader to determine the quality of a particular evaluation or the degree to which it is appropriate to generalize from the evaluation's findings.

The Agency does not encourage its employees, in general, to set down their findings abut experience in writing in professional journals or other widely distributed documents. This may be contrasted with a stronger tradition in support of such publications in the State Department. In addition, the use of A.I.D. experience in A.I.D.-training courses is limited because many staff members are reluctant to identify or candidly write up

their experience with a particular "success" or, more understandably, "failure." Cases based on other development experience are often thought to have more pedagogical value. Certainly they avoid the complications inherent in appraisal of activities in which one has been directly involved.

A.I.D. personnel assignment policies also inhibit the oral transfer of information on past experience. This is a particular problem in hardship posts where tenure may be short and there is no overlap between project officers. This problem is further compounded by a lack of end-of-tour reports, a requirement which has only recently been reinstated at the Mission Director (but not at the project officer) level. The growing use of contractors for project design also means that an increasing proportion of projects are being designed by them with very limited access to the oral tradition and interpersonal network which has been used to communicate experience within the Agency in the past. Recent delegation of authority to approve project (PP) designs for smaller projects at the Mission level has reduced bureaucratic delays, but it also means that neither the broad, personal experience of the headquarters review team nor the "corporate memory" is necessarily brought to bear on the project after the PID review.

The use of project experience in broader scale resource allocation decisions within the Agency appears to be very limited. Negative evaluation reports may kill a project or series of projects, but they have limited effect in determining where to generally increase or decrease Agency financial allocations. This is in part because the Agency's program is substantially constrained by legislative mandates, political priorities, and financial factors which bear only a limited relationship to the Agency's examination of its own experience. Furthermore, the allocation of funds to a particular nation is more generally a function of its strategic importance to the United States, rather than an examination of the nation's ability to absorb and manage projects. Yet this problem is also due to A.I.D.'s failure to clearly charge budget and program officers with the task of favoring types of projects and programs that have proven effective as evidenced by evaluation reports.

Even traditional repositories of information on development experience such as libraries are given uncertain and marginal support by A.I.D. We were told that A.I.D. has never issued a policy with respect to

field libraries. The library in A.I.D./W is formally established although it is not well maintained. Several U.S.A.I.D.s have on their own initiative established rather comprehensive libraries. According to the DIU staff, some 18 U.S.A.I.D.s maintain field libraries of some kind. Several have designated these facilities as "information centers" to denote that they play a wider role than storing books and periodicals. Some of these libraries have become vital centers for storage and dissemination of development information. They contain A.I.D., World Bank and other project documents; key books and periodicals; unpublished reports and much information which is out of print and not available elsewhere. Increasingly A.I.D.'s Mission libraries cover two or three decades of critical development experience. Very little of this information is available through host countries as few of them have well organized and maintained libraries.

The libraries are not limited to serving the needs of Mission staff and A.I.D. contractors. Often they provide the best source of information for visiting World Bank and other teams of specialists, visiting scholars and researchers. In recent years, the libraries have added collections of video tapes distributed from A.I.D./W and in several cases are experimenting with word processors and data storage equipment as adjuncts to traditional library services.

These libraries have ties with and file professional publications from American and other universities and various centers of excellence (international agricultural research centers, population and other specialized research institutes, etc.). Typically, the libraries are staffed by a local national employee. In at least one instance the wife of a United States citizen who is a trained librarian was able to strengthen and upgrade a U.S.A.I.D. information center. The fact remains, however, that A.I.D. is in no sense making optimum use of its unique strength to serve as a resource center for development experience.

E. Lines of Improvement

Despite the barriers identified in our interviews, there is substantial potential to improve the Agency's use of its experience. Through our interview process and subsequent analysis we identified 49 different

initiatives[4] several of which are already underway in various parts of the Agency. These improvements are designed to counter three types of barriers to information which exist in A.I.D.:

- Problems with the products themselves, with evaluation reports and summaries designed to distill the findings in these reports.

- Problems with the system for identifying and distributing information on experience, notably the timeliness and utility of DIU services, particularly those calling on A.I.D.'s "memory" (DIS).

- A lack of motivation in the bureaucratic structure of the agency which would encourage all staff, not simply Evaluation officers and Impact Evaluation teams, to set down in writing their findings on experience or to research findings from previous projects.

A list of potential improvements was arranged by category and described in our interim report of October, 1982. Items are grouped here under three headings as follows:

	Number of Possible Innovations
1. Improving Information on Experience	
Process improvement	4
Improved documents	4
Rating of evaluations	2
Other experience documents	4
2. Improving the Communication and Dissemination of Information	

[4]The original list of potential improvements developed and circulated at the end of November was subsequently supplemented by six additional ideas arising from further discussions with Agency staff.

		Number of Possible Innovations
	DIU Improvements	7
	Improved conditions for DIS	8
	Use of non-DIU sources	8
3.	Structural Changes and Incentives to Encourage Use	12

In the following pages, we briefly highlight the potential innovations in each category.

1. Improving Information on Experience

In a variety of interviews, we found that the sheer volume of evaluation information was a deterrent to its use. Unfamiliar readers were not able to tell the reliability of an evaluation report, or the level of confidence which Mission staff on-site had in the report conclusions. Quite often, it was even difficult to identify the most important report conclusions and the basis for such conclusions. Our review of available documents confirmed these problems. In addition, both Agency staff and Arthur D. Little, Inc. noted that documents summarizing the findings of multiple parallel evaluations were lacking, or developed in academic detail such that they are not useful to Agency staff. This is particularly unfortunate given the fact that field Missions regularly gather a large amount of data and undertake analysis which could be put to further use.

Table 1 shows the areas of improvement suggested by the interviews. An asterisk denotes where the voting process assigned high priority to a potential innovation. A ■ denotes an innovation where an experiment or action was already underway within the Agency before this study began.

TABLE 1

Improving Information on Experience

A. Process Improvements

1. Integrate management and evaluation priorities by:
   a. scheduling fewer evaluations of greater depth and more value for decision making ■ *
   b. applying greater flexibility in evaluation and timing ■ *

2. Increase host country involvement in evaluation*■If host country nationals are involved in evaluation, they are more likely to incorporate evaluation findings into continuing management of development programs.

3. Improve training of evaluation officers to increase quality/reliability of evaluations.

4. Develop evaluations of long-term impact (10 years or more after completion) of selected A.I.D. programs to determine how programs affect long-term development.*

B. Improved Documents

1. Prepare syntheses of multiple Impact Evaluations.* Concise statement of common findings have not been available in a short document.

2. Summarize material on projects of a particular type in the DIS data bank.* Information provided in response to a request on a specified field is voluminous and poorly digested; syntheses of the type DIU produced early in its existence could increase the likelihood that project design or review staff would use findings in DIS.

3. Better summaries of project evaluation reports.*■ Many summaries do not concisely carry the information wanted by subsequent project designers and reviewers -- better user oriented summaries could increase use of past evaluations.

4. Develop better abstracts of evaluations and other documents in the DIS; have them written in the field by study authors/participants.* Many abstracts now do not highlight the points of greatest interest to subsequent reviewer so they would use evaluation reports.

C. Ratings of Evaluations

1. Include Mission comments on evaluations in report,* including Mission view of evaluation quality and utility and project replicability. Lack of Mission comments makes staff unwilling to rely on Evaluation reports because they do not have field opinions of the results.

2. Develop professional index of technical quality of evaluations and reliability of findings. * The system PPC/E/PES is now developing to score the technical quality of evaluations is intended to be used in PPC as a diagnostic tool which will facilitate the development of improved evaluation guidance. It could be used to provide feedback on the technical quality of different evaluations or groups of evaluations.

D. Other Experience Documents

1. Reinstate end-of-tour reports for project manager to pass their experience on to successors.*■ (Now required of Mission Directors only.)

2. Develop more case studies of successful projects thought to be generalizable.*■

3. Expand the project completion report (PCR) to constitute a more effective evaluation of accomplishments. Centrally available documentation provides little information concerning the Mission's view of the outcome of a project.

4. Assist agency staff to write articles on significant findings reached in A.I.D. projects by arranging "ghost" writing assistance where necessary.■

2. Improving the Communication and Dissemination of Information on Experience

Many of the innovations rated highest by A.I.D. reviewers fell into this category. A significant number of the highest ranked innovations involved improved use of the DIU. During the time of this study, DIU was undergoing a three-phased metamorphosis:

- conversion of software and operating systems for the DIS
- transition to a new, heavily contractor based operation
- consideration of a shift from S&T to PPC

Table 2 shows the potential innovations in this area. An asterisk denotes an idea rated as high priority by A.I.D. staff in the poll at the end of Phase I of this study. A ■ indicates an idea where an experiment or other action was already underway within the Agency.

TABLE 2

Improving the Communication and Dissemination of Information on Experience

A. DIS/DIU Improvements

1. Improve user guidance and training in the use of DIS. A large proportion of the Agency, particularly those with higher rank and seniority, are unfamiliar with DIS or do not know how to use it.*

2. Increase direct access to DIS: a) links to terminals in Bureaus/Missions*; b) selected DIS data provided to Missions for automated search on site. ■ * This would cut the response time for a DIS search and permit the staff member to narrow the search more quickly, eliminating unwanted materials.

3. Improve the targeting of searches in DIS so that the number of documents provided in response to a request can be reduced.*

4. Develop process for tracking and verifying receipt of documents which should be in DIS. Many recent documents are missing and staff has been inadequate to follow up on missing documents.*

5. Improve document abstracts in DIS so that the user will locate documents of interest more quickly.*

6. Add on line access (through DIS) to evolving automation for Mission data bases over time. Immediately ensure that forward automation plans do not preclude such development planning improvements.

7. Once a year provide to each U.S.A.I.D. Mission a computer run of DIU holdings for their country.

B. Improved Conditions for the Use of DIU

1. Reinstate DIU analysis unit to provide targeted, analyzed summaries of DIU information in response to U.S.A.I.D. request* -- and/or

2. Provide research assistants to summarize information on experience for A.I.D. staff: ■ a) in project preparation; b) in project review. (This is a partial alternative to an analyses unit in DIU).

3. Develop structured DIS request forms which would narrow a search request and reduce the amount of material demanded.*

4. Implement system for automatic searches for selected categories of projects.* a) Pre-PID; b) PP preparation; and c) evaluation design. Summaries of DIU materials would be provided at early stages of project development even if not requested, per early plans for DIU's operation.

5. Require Contractors to perform DIS searches prior to project design assignments.

6. Require DIS search/literature review prior to approval of PIDs or PPs.

7. Develop periodic user reports which show who is/who is not using DIS. Non-users could be targeted for training in DIS use.

8. Require that the Bureau managing DIU increase its emphasis on marketing of DIS services and responsiveness to policy priorities.

C. Other Sources of Information

1. Present evaluation findings at Mission Directors' conferences and technical workshops. ■ *

2. Strengthen U.S.A.I.D. field libraries.

3. Distribute annual list of completed evaluations.*

4. Issue administrator's guidance incorporating findings from synthesis of multiple evaluations. This would focus high level attention on evaluation findings.

TABLE 2 (Continued)

Improving the Communication and Dissemination of Information on Experience

5. Develop a newsletter or articles in A.I.D. publications to highlight evaluation findings and lessons learned from experience.■

6. Make and distribute videotapes of experience information for Mission use, including:

   a) Questions and answer sessions with senior staff; b) highlights of special meetings or conferences;■ c) presentations by noted experts;■ d) case studies of projects.

7. Provide lists of A.I.D. personnel experienced with similar projects and project designs to stimulate oral transfer of information.

8. Each Bureau to arrange selected distribution of evaluation reports to potentially interested staff (including other Bureaus).

3. Structural Changes and Incentives to Use Experience Based Information

A number of A.I.D. officials noted specific organizational arrangements which have improved the transmission of information on experience. Mission libraries were cited as an underutilized means of making development experience readily available to field staff. The population program is often cited as the pre-eminent example of an organization whose mandate spurred the transmission of information between countries. Several other ideas were generated which would provide incentives for writing, sharing, and using experience developed in A.I.D. projects.

Table 3 shows potential innovation in this area. An asterisk denotes high priority voting by the A.I.D staff. A ■ indicates a project where an experiment or other action was already underway.

TABLE 3

Structural Changes and Incentives

1. Issue a policy statement dealing with use of development experience which establishes the parameters of A.I.D.'s role and interest in the subject.

2. Strengthen broad rather than narrow topical PPC/E links to Sector Councils to integrate evaluation findings into sector strategies; i.e., require consultation by Sector Councils as opposed to PPC/E representation on them.

3. Split projects into phases within a funding structure; require evaluation and response to evaluation prior to funding subsequent phases. ■

4. Improve mechanisms for using universities and other centers of excellence as a means of focusing and disseminating findings on past experience. ■

5. Improve the link between evaluation and budget decisions; evaluations now have a very limited effect on decisions to increase or decrease funding for classes of projects across the Agency, even considering funding constraints.

6. Provide career incentives for publication of articles or books on A.I.D. experience by A.I.D. staff. There is little career benefit in making the effort to publish.

7. Focus budget, staffing and organization around priority programs (the population program is cited as a prime example of the effectiveness of this approach).

8. Invite host governments to sign PID, PP, and Evaluation reports to increase their exposure/commitment to A.I.D. planning and evaluation process.

9. Follow-up on the implementation of recommendations flowing out of evaluation, via audits or other means. There is no systematic agency-wide follow-up on evaluation recommendations at this time. ■

10. Make substantive training in agency experience and history more clearly a part of the career path.

11. Increase time at post and overlap assignments to make better use of personal experience in project design and management, even if this requires a breach between FS for State and A.I.D.

12. Assign more FSOs to evaluation positions, particularly in PPC's Studies division. This could improve Mission evaluations and use of evaluation information when the FSOs return to other assignments.

SECTION THREE

EXPERIMENTS AND THEIR RESULTS

As suggested in Section Two, lines of improvement lie in three areas:

1. Improving Information Experiences;

2. Improving the Communication and Information Experience; and

3. Structural Changes and Incentives.

Experiments carried out in the course of this study are concentrated in the first category -- improvement of information on experience, particularly evaluation products. Because of extensive changes currently underway which affect DIU, natural experiments suggested here were not undertaken. Experiments involving the basic structure and incentives in the Agency were generally not feasible within the period of the study. The priority experiments in improving evaluation products were selected after the full range of improvements were ranked by selected Agency staff in a voting process. However, improvements in disseminating and communicating these documents are equally important. Structural changes in bureaucratic incentives are unlikely to be undertaken solely to improve the use of evaluations, but a number of the changes listed in category 3 would have multiple beneficial effects on the Agency.

Criteria for selecting the experiments assigned to Arthur D. Little included the following:

- high rating in poll of Agency staff;
- importance in the view by Arthur D. Little consultants;
- completion of experiment feasible within the contract period;
- experiment could be performed with existing A.I.D. and contractor resources;
- no significant A.I.D. decisions required to undertake the equipment; and

if successful, the experiments could be institutionalized relatively quickly by the Agency.

The seven separate experimental activities undertaken by the Arthur D. Little team are reported upon in some detail in Appendix C. The model document or guidelines developed by the contractor are shown for each experiment. All of the actions assigned to Arthur D. Little were completed. They are summarized below in Table 4 along with the benefits expected from general implementation of each experiment.

Appendix B provides additional information on each of these innovation possibilities, including:

1. The Innovation (as defined in Tables 1-3, using a similar organization).

2. Relative ranking within each group, as shown by the sequential numbers of each innovation in a category.

3. Experiment or action recommended. This entry, the the center column, discusses the action which could be taken to implement the innovation, including experiments, and products developed by Arthur D. Little under this contract.

4. Status of innovation as of March 31, 1983 (date of final report). This includes a notation where low project ranking by A.I.D. staff suggests that no further action is indicated.

TABLE 4

Experiments Carried Out by Arthur D. Little, Inc.

Potential Improvement	Experiment	Expected Benefits
1. Synthesize multiple Impact Evaluations	Preparation of two page synthesis of A.I.D. experience with agricultural research projects. Copy of Synthesis at Appendix C.1.	The proposed synthesis of experience will permit senior management and review officers, perhaps particularly PPC/PB's regional coordinators, to consider new project proposals in the light of total Agency experience in a sector or field of activity.
2. Summarize material in the DIS data base.	Relying primarily on the DIS data base, prepare a summary of A.I.D. experience in a sector or sub-sector for which an Impact Evaluation series has not been undertaken and for which an overview of experience is needed for policy review. The sub-sector assigned was High Level Manpower Training. Copy of Summary statement at Appendix C.2.	The availability of guidelines and a model for proceeding to obtain data and prepare summaries in fields not covered by Impact Evaluations should facilitate the development of such summaries.
3. Better summaries of Project Evaluation Reports	Produce samples of improved summaries of field PES reports, Impact Evaluation reports and contractor prepared evaluation reports, with guidelines for preparation.	Existing summaries of evaluation reports are not uniform as to coverage and conduct. Better guidelines for preparation of summaries will produce a more consistent and usable set of evaluations.
4. Improved Abstracts	Produce sample abstract with guidelines for preparation of standardized abstracts.	If the author of each document to be entered into the DIS data bank prepares a standardized abstract, the result should be more reliable. Costs of later productstion of abstracts could be eliminated.
5. Case studies	Produce a case study of a successful project and guidelines for producing such studies. The project selected was the BANEX export trading in Costa Rica.	Case studies of successful A.I.D. projects can be useful in training and information activities as well as models for replication.
6. Changes in project and evaluation reporting.		
a. Add Mission comments to evaluations.	Produce a set of guidelines for Mission's use in preparing comments on evaluation reports.	Evaluation reports would have more credibility with users if the user knew that the concerned U.S.A.I.D. had expressed its opinion as to validity and thoroughness and objectivity of evaluations prepared outside the Mission.
b. Add evaluation element to Project Implementation Report (PIRs)	Prepare proposed supplement to Project Implementation Reports together with implementing instructions which call upon Missions to make an overall judgment about performance as of the time of each implementation report. See Appendix A.6 for copy of the Supplement and instruction.	Existing PIRs focus on project input and management issues. With addition of a new section on outputs and judgments of progress towards goals the existing PIR could become a valuable recurring evaluation of every project in A.I.D.'s portfolio.
c. Expand Project Completion Reports (PCRs) to constitute a more effective appraisal of the completed project	Prepare proposed supplement to PCRs together with implementing instructions. See Appendix A.6 for copy of the supplement and instructions.	Few PCRs appear in the DIS data base leaving a serious gap in final appraisal as to the success of projects. Instructions in Handbook 3 for PCRs are not adequate for this purpose. More consistent and evaluative comments in PCRs will help A.I.D. determine the success with final results and impact for projects.

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TABLE 4 (continued)

Experiments Carried Out by Arthur D. Little, Inc.

Potential Improvement	Experiment	Expected Benefits
7. Strengthen host country participation in evaluations	Develop guidelines based on the best recent A.I.D. and contractor experience for involving host country materials in evaluations. (See Appendix A. 6)	If host country nationals are involved in evaluations, the evaluation findings are more likely to affect future program decisions by the host government.

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SECTION FOUR

CONCLUSIONS AND RECOMMENDATIONS

Table 5 on the next page contains user comments and our summary conclusions and recommendations for each of the seven experiments carried out by the Arthur D. Little team. Our recommendations for experiments which can be performed in the future to test other innovations are contained in the table of all innovations in Appendix B. Our further conclusions and recommendations appear below.

A. Condensation and Quality Improvement of Documents and Evaluations

A.I.D. staff have available to them a huge volume of experience based on information. Yet only limited use is made of this information beyond ad hoc transfer person-to-person. Staff reductions, heavy workloads and deadlines for obligation of funds sharply limit the occasions for systematic referral to past experience.

Improvements in electronic processing of data as discussed below will be helpful. Equally useful -- and a necessary supplement -- would be steps to condense and refine A.I.D. documents to facilitate the search for potentially useful lessons learned. Three types of improvements are proposed to deal with this problem.

The first step requires easier access to project documents once a computer search of abstracts identifies which documents are desired for detailed review. The present arrangements for storage of documents on microfiche or photocopying documents on demand needs to be reviewed as to timeliness of response. Our limited experience with requests for documents suggests this to be a problem area. Few A.I.D. staff interested in consulting a document are prepared to wait very long for it.

The second step is for program documents (and various special reports) to be condensed, organized and summarized to facilitate easy use. We undertook a variety of experiments to find ways to achieve this. Appendix C, items 1 - b, describe the experiments and our findings. Appendix B summarizes each innovation and notes the status of implementation as of March 31, 1983. The recommended innovations are designed to provide A.I.D. with:

- Synthesis of its experience by sector;

TABLE 5

PROJECT EXPERIMENTS: USER COMMENTS AND RECOMMENDATIONS FOR FURTHER ACTION

Experiment	User Feedback	Recommendation
1. Two page synthesis of A.I.D. experience from Impact Evaluations (Agricultural Research)	S&T and PPC staff reported the short form presentation of findings and lessons learned to be of considerable utility to them. Reported satisfaction with the substance of the synthesis.	That the two page synthesis be adopted as a model for other sectors for which Impact Evaluation series have been carried out. In future, staff officers who prepare proceedings of sector workshops should routinely produce a comparable two page summary.
2. Summarize material in D.I.S. data base (High Level Manpower Training)	The summary of material stored in A.I.D.'s data base was found helpful in preparation of a Policy Paper on Human Resource and Higher Education. There were problems in the comparability of data and findings between evaluation reports, but important themes were identified.	That the example summary and accompanying guidelines for preparation be used when future summaries of experience are needed for policy development or for general distribution when "common themes" in A.I.D.'s work are identified based on CDSS and other pertinent documents.
3. Produce a sample of an improved evaluation summary and guidelines for its preparation.	Representatives of affected Bureaus were canvassed to review the common elements of existing summaries. The example reflects most of their concerns consistent with brevity and a general format.	The revised Evaluation Handbook should contain guidelines for this improved summary document.
4. Produce sample abstract and instructions for preparation of evaluation abstract by authors.	This format is more consistent with general research and academic practice, but highlights findings for policy oriented users. Could save substantial abstracting cost in DIS.	That A.I.D. will issue guidelines requiring all authors of PPs and Evaluation and request that the IG/s Audit Reports include a standardized abstract on the first page of the document. DIS should promptly enter these abstracts into the data bank.
5. Develop a case study (BANEX) and preparation guidelines	The case study is of a project type of high interest to A.I.D. It is premature however to use the study for training as the project is less than two years old.	That A.I.D.'s Training Division consider the utility of these and other case studies. That the BANEX case study be considered for Front Lines when the project is more mature. That A.I.D. officers be encouraged towrite case studies using the guidelines developed for the BANEX study.
6. Changes in project and evaluation reporting: a) Draft instructions for adding Missions comments to evaluation reports	An Asia Bureau project implementation workshop considered this suggestion and judged the proposal to have merit.	That the Agency issue instructions that U.S.A.I.D. Mission comments be incorporated in all reports of Impact and other evaluations of programs and projects.
b) Add evaluation element to Project Implementation Report (PIRs)	An Asian Bureau Project Implementation Workshop considered this suggestion and judged it too demanding in time and effort. A short version should be considered as an alternative. The workshop raised doubts as to appropriateness of a standard set of measurements for very dissimilar projects.	That the Agency issue instructions that U.S.A.I.D.s incorporate a shorter version of the proposed supplement to PIRs.

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TABLE 5

PROJECT EXPERIMENTS: USER COMMENTS AND RECOMMENDATIONS FOR FURTHER ACTION

Experiment	User Feedback	Recommendation
c. Expand Project Completion Report (PCRs) to constitute a more effective appraisal of the completed project.	An Asian Bureau project implementation workshop considered this suggestion and concluded the proposal would be burdensome and time consuming.	Develop a simplier means of standardizing PCR information (or abstracting the PCR) so that Mission comments on completion can be entered in the DIS file.
7. Develop suggested handbook material on ways to increase host country participation in evaluations	Draft material (Appendix C.7) reflects A.I.D. staff comments, some published material, and findings of Arthur D. Little staff from previous projects. Increased involvement will be difficult without clear incentives for both A.I.D. staff and counterparts.	Require that host country national and contractors who in some way served as evaluation team members be identified in evaluation reports. Also identify persons who participated in the review and decision making process on evaluation reports. This goes beyond A.I.D.'s current practice listing those who prepared the final evaluation summary report and will provide A.I.D. with information it now lacks on the extensiveness of host evaluation.

- Better summaries of evaluation reports;
- Improved abstracts for electronic processing; and
- Concise packaging of experience for training and information purposes (case studies, video tapes, etc.)

The third step calls for adaptation of three existing reports to make them more useful in identifying lessons learned.

Project Completion Reports -- Instructions for preparation of this report need to be revised. A simplified version of the changes proposed at Appendix C.6 should be prepared and published in A.I.D.'s Handbook Three. Abstracts of these reports should be routinely added to the DIS memory bank. The reports themselves would constitute an important element of the record of each project. Completion reports tend to receive low priority and be viewed as historical documents not related to current activities. They could be a key element in improving use of experience.

Project Implementation Reports -- With each geographic Bureau now requiring quarterly or semi-annual project implementation reports, these reports provide a rare (perhaps the only) opportunity for central management to obtain a quick look at the performance of its entire portfolio. The implementation reports -- usually one page or less -- focus understandably on management problems and A.I.D. inputs. Addition of a few standard lines on outputs using numerical measures where feasible would strengthen the evaluation aspect of the reports. A simplified version of the additions proposed in Appendix C.6 should be prepared. The Asia Bureau is understood to be considering such an amendment to their project implementation reports. Experience with that Bureau could identify the most appropriate addition to future implementation reports.

U.S.A.I.D. Comments on Impact (And Other) Evaluation Reports -- Impact Evaluation Reports do not print U.S.A.I.D. comments in the final report. The U.S.A.I.D.s frequently cable comments to A.I.D. when they have read the draft of these reports. As is the practice with A.I.D. comments on audit reports, the field comments on Impact Evaluation Reports should add an important element of background and balance. Opportunity is usually afforded for Mission comments to affect the draft report,

however, we recommended that future Impact evaluations, and other evaluations external to the U.S.A.I.D.'s, print U.S.A.I.D. comments as annexes to the final report.

B. Data Dissemination and Transfer

A.I.D.'s Development Information System (DIS) has the potential of becoming a valuable resource for helping the A.I.D. staff -- and others -- learn from A.I.D.'s experience. The DIS data bank contains summaries of project papers and evaluation reports covering almost a decade of project experience. The amount of data stored by DIS is steadily increasing. Spectacular advances are being made in the technology to make this and other relevant information available at computer terminals wherever in the developing world A.I.D. staff are located.

Unfortunately, the majority of A.I.D.'s staff seem to be unaware of this resource. Certainly only minimum use is made of the facility. Nor is A.I.D. making adequate plans to benefit from the revolutionary advances occuring in management information systems and communications and to increase the use of the material in DIS.

We have concluded that two basic measures need to be taken if this condition is to change for the better: first, a series of relatively modest steps need to be taken to enhance the quality and responsiveness of the system to users; and second, there will need to be a comprehensive orientation and training program in use of the DIS. Several of our recommendations are designed to reduce the cost of a reactivated analysis unit for DIS. Some of the hardware needed to implement the recommendations has already been purchased and is in place.

The orientation and training program would need to include all staff levels and field locations. The staff of intermediary organizations implementing A.I.D. programs should also be trained in the use of DIS. Demonstration computer programs and an up-to-date video training tape should be prepared. Mission director conferences and technical workshops should routinely include time for a brief orientation on use of the DIS and access to other experience-based information.

Our study identified 15 specific ways the DIS and DIU could be strengthened and improved. (See Table 2.) No doubt additional ways would be identified as some of these initial steps are implemented. A.I.D. has already made a very considerable dollar investment in its development

information system. We believe that system could become a useful tool for development planners and others by implementing the suggested improvements.

Eventually, the backlog of projects not now entered into the DIS system should be added to the system even though some items will be quite brief due to retired or missing records. Inclusion of one line items for the PAIS accounting system would identify the full extent of A.I.D.'s role and permit recall of dollar totals by country and sector.

The aim should be to move beyond direct retrieval of data stored by DIS and to encourage identification and preparation of new and innovative software programs useful to Missions and host countries. As host countries move to develop their own management information systems (e.g., monitoring of complex and dispersed programs such as health and family planning clinics), A.I.D. should be able to provide useful technical assistance. Several family planning programs such as Indonesia have benefited greatly from such assistance. This will be facilitated if the A.I.D. staff is familiar with and uses management information systems in their own operations.

A.I.D. now employs two distinct management information systems: The Project Accounting Information System (PAIS) and the Development Information System (DIS). The systems serve different purposes. Within a few years technological advances will permit field posts to access Washington data banks electronically. Current planning should envisage this coming about and provide for appropriate interface between the two systems. At the same time the data bases of other federal and private organizations could be available and on line to A.I.D.'s overseas computer terminals. It is timely to anticipate and prepare for this expansion of service. Any modifications to telecommunications and data processing systems should facilitate access to DIS.

In addition to the specific improvement measures recommended, we believe consideration should be given to expanding information accessible through DIS. This is now limited to project specific data and certain country economic and social indicators and statistics. Currently there is no storage of aggregated information in summary form by sector or topic. As part of this broader strategy, A.I.D. should strengthen and support Mission libraries and information centers which currently exist at Mission discretion. Guidelines for this should be included in A.I.D. policy manuals.

C. Structural Improvements to Encourage Use of Experience

Little change is likely in the way A.I.D. benefits (or does not benefit) from its past experience without an increased awareness at all staff levels and field locations that A.I.D. has a large amount of useful development experience on tap, and much additional experience based information is potentially available. Real improvements will also require better access to A.I.D. past experience and more satisfaction with results when the information system is called upon. A major challenge will be to bring this about without placing added demands on the already overburdened field staff and to do this within current budgets.

Our recommendations for structural improvements to encourage use of experience are listed in Appendix B. Some mechanical changes may encourage further use of the DIS. It may be possible, for example, to use graduate students on a part time basis to do DIS information searches and data gathering in lieu of more costly regular staff or contractors. With increased awareness of the information resources available it will still be necessary to provide rewards or incentives for use of the system.

The recommendations which we consider highest priority for early consideration are:

1. Issue a policy statement dealing with use of development experience which establishes the parameters of A.I.D.'s role and interest in the subject.

2. Strengthen the links between evaluation findings and budget decisions. Successful programs which have been supported by sound evaluations should be targeted for expansion and replication.

3. Establish career incentives for A.I.D. staff to publish articles on project experience. At the moment, extra effort to write up successful A.I.D. projects for publication is rarely recognized in career development promotion decisions.

4. Make substantive training in Agency experience and history more clearly a part of the career path.

5. Enhance PPC/E links to Sector Councils to integrate evaluation findings into sector substrategies.

D. Experience Information and the Management Information Revolution

The experience with DIS suggests that the technical capacity for recall of the corporate memory at A.I.D. is already greater than the willingness to consult this memory. In part, this occurs because IDS is so little known or understood at the top levels of the Agency, and because its products are not yet perceived to be fine-tuned to the needs of Agency officials working under constant time pressure. Nevertheless, the opportunity exists to make the corporate memory more accessible and more "user friendly." To date, studies of improved communication and data processing at the Mission/Bureau level have focused on financial data and routine file maintenance. The very technology which makes these improvements possible could also make it possible for the project officer in the field to access the Agency's memory of its past experience. If staff are to use this memory, the information contained in it and the documents summarizing the information must be improved. In addition, A.I.D.'s current planning for data processing and communication must allow for future direct access to DIS by Mission/Bureau staff.

The Agency should plan now for direct access to DIS and any successor systems by program staff. This will require better training in the use of such systems, and some incremental investment in the data processing and communication capabilities already being planned. New A.I.D. officers will be increasingly computer literate, and will feel less reluctance to do their own research if direct access is available. We estimate that 25-50% of A.I.D. staff will be computer literature within five years. If A.I.D. makes its corporate memory accessible to program staff, this very capability may be an additional form of technical assistance to counterparts in developing nations. The U.S. leads the world in the practical application of information retrieval technologies. Making available a system which recalls the Agency's vast experience on previous development projects would be an "appropriate" technology to transfer to program managers in developing countries who have only a fraction of this experience.

APPENDIX A

LIST OF INTERVIEWEES AND INTERVIEW GUIDE

List of Interviews and Questionnaire

The names and position of persons interviewed for ideas as to possible improvements in utilization of AID experience are listed below. This is followed by a statement on the interview process and questions asked.

Office of the Administrator

Frank Kimball - Counselor

Office of the Inspector General

Herbert L. Beckington - Inspector General

Bureau for Program and Policy Coordination

Frederick W. Schieck - Deputy Assistant Administrator
Tom Casstevens - Special Assistant, Office of the Administrator
John Hummon - Associate Assistant Administrator, Director, Office of Planning and Budgeting
John Erickson - Associate Assistant Administrator, Director, Office of Policy Development and Program Review
Richard Blue - Associate Assistant Administrator, Director, Office of Evaluation
Twig Johnson - Chief, Studies Division, Office of Evaluation
Molly Hageboeck - Chief, Program Evaluation Systems Division, Office of Evaluation
Richard Archi - Deputy Associate Assistant Administrator, Office of Policy Development and Program Review
Nena Vreeland - Evaluation Officer, Systems Division
Edward Lijewsky - Policy Development and Program Review Office
Joan Atherton - Policy Development and Program Review Office

Africa Bureau

Lane Holdcroft - Director, Office of Technical Resources
Henry Miles - Bureau Evaluation Officer

Asia Bureau

Larry Smucker - Director, Office of Development Planning
Tom Oliver - Office of Development Planning
Maureen Norton - Evaluation Officer
Ray Van Raalte - Director, Office of Project Development
Gerrit Argento- Agricultural Program Officer
Tom Arndt - Director, Office of Technical Resources
Bill Goldman - Office of Technical Resources

Bureau of Science and Technology

Curtis Farrar - Deputy Assistant Administrator
Walt Rockwood - Publications and Information Officer
Lida Allen - Director, Development Information and Utilization Service
Lee White - Systems Analyst
Ellen Boissevain - Librarian
Maury Brown - Deputy, Information and Utilization Service

Management Bureau

John F. Owens - Deputy Assistant to the Administrator
Aim Kivimae - Special Assistant
Paul Spishak - Office of Data Management Director
Dan Creedon - Chief, Training and Development Division

Food for Peace and Voluntary Assistance Bureau

Charles Gladson - Deputy Assistant Administrator
Lenny Elliott - Special Assistant

Private Enterprise Bureau

Edgar C. Harrell - Deputy Assistant Administrator

Near East Bureau

Selig Taubenblatt - Director, Office of Project Development
Kenneth Sherper - Director, Office of Technical Support
Robert Zimmerman - Evaluation Officer
Judy Wills - Evaluation Officer
Gary Adams - Staff Officer
Steve Freundlich - Staff Officer

Latin American and Caribbean Bureau

Albert Brown - Chief, Rural Development Division
Bernice Goldstein - Recent Evaluation Officer

USAID Kenya

Allison B. Herrick - Mission Director
William S. Lefes - Program Officer
Richard L. Crist - Assistant Program Officer
David Lundberg - Agricultural Development Officer
Charles T. Hash - Deputy Agricultural Development Officer
Thomas J. Worrick - Agricultural Economist
Spencer Silberstein - Population Officer
Satishchandra P. Shah - Project Development Officer
Edward H. Greeley - Project Manager
Gordon Bertolin - Assistant Project Development Officer
Richard Greene - Program Economist

Regional Economic Development Office/East and Southern Africa - Nairobi

Peter J. Bloom - Deputy Director
James A. Graham - Assistant Project Development Officer
Anita Mackie - Agricultural Economist
Helen E. Soos - Assistant Program Officer (evaluation)
Calvin L. Martin - Agricultural Development Officer

Office of the Regional Financial Management Center - Nairobi, Kenya

Robert L. Bourquein - Director
Ronald V. Miller - Computer Systems Analyst
Gary A. Eidat - Deputy Director

Congressional Staff

Lou Gulick - House Foreign Affairs Committee

Interview

Introduction

Charge: We are trying to identify opportunities for the Agency to make better use of information on past experience. Use of evaluation information is a particular concern, but we are also interested in use of information on past experience more broadly defined. There seem to be two major avenues of opportunity to be explored:

- o Ways in which we could improve information provided on past experience and its distribution
- o Ways in which we can provide incentives for use of this evaluation information in planning and decision-making in the Agency

We are interested in your use of this information. (Usually begin by asking for description of responsibilities and role.)

1. Where do you get information on past experience to use in your job? What use have you made of existing evaluation information?

   (Often requires that we push for description of process of project design or decision making in a particular case.)

2. If evaluations are mentioned:

   - o where did you learn about these?
   - o what information did you get that you have used?
   - o what problems in using evaluations?

3. If evaluations are not mentioned, ask if he has seen X or Y Impact or Summary evaluation which may be relevant:

   - o if he has not, ask why not
   - o if he has, ask what problems in applying them

4. Press further for other sources of experience based information (individuals, groups, other published materials, training).

- how was experience resource identified?
- what use was made of the experience resource?
- why use this resource?

5. Have you used DIS?
   - if not, why not?
   - if so, what problems or advantages?

6. How would you structure things (free of bureaucratic constraints) to:
   - improve the use of past experience generically?
   - improve the use of evaluation findings?

Note: We will sometimes lead by saying, "We have heard of X problem, or Y application of evaluation information, have you had a similar experience" when interview lags?

APPENDIX B

CURRENT STATUS OF SUGGESTED INNOVATIONS

APPENDIX B
CURRENT STATUS OF SUGGESTED INNOVATIONS

A. Improving Information on Experience

1. Process Improvements

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1968
1. Integrate management and evaluation priorities: a. perform fewer evaluations in greater depth. b. apply greater flexibility in evaluation timing.	No experiment required. Since fewer evaluations are now being performed and Missions have greater flexibility as to timing, evaluation activities require monitoring to insure results respond to management priorities and produce reports with more depth and utility.	The improvement suggested had been formally adopted by time of the study.
2. Increase host country involvement in evaluations.	Because of a fairly wide perception in AID that host countries are not sufficiently involved in evaluations, the extent of such involvements needs to be reviewed and presumably strengthened. A short paper (at Appendix C.7) incorporating suggestions and examples of host country involvement has been prepared. These and other ideas should be incorporated into the Evaluation Handbook.	Revisons to Evaluation Handbook pending--Appendix C.7
3. Improve training of evaluation officers.	NA	In view of the low ranking this received, no action proposed at this time.
4. Develop evaluations of long term impact (10 years or more after completion) of selected AID programs to determine how programs are related to stages of development.	The case studies now being considered by PPC should accomplish the purpose of this proposal.	The Studies Division (PPC/E/S) is planning to contract for four (case studies) of the long term impact of private enterprise projects assisted by AID.

A. Improving Information in Experience

2. Improved Documents

Improvement Suggested	Experiment or Action recommended	Status as of March 31, 1983
1. Prepare synthesis of multiple Impact Evaluations.	Preparation of sample two page synthesis of AID experience with agricultural research projects.	Experiment completed. See Appendix C.1--ready for adoption.
2. Summarizing material in the DIS data bank.	Preparation of sample summary of AID experience in a sector or sub-sector for which an Impact Evaluation series has not been undertaken and for which an overview of experience is needed for policy review. The sub-sector assigned was High Level Manpower Training.	Experiment completed. See Appendix C.2--ready for consideration as Agency policy.
3. Better summaries of project evaluation reports.	Produce samples of improved summaries of field PES reports, Impact Evaluation reports and contractor prepared evaluation reports, with guidelines for preparation.	Experiment completed. See Appendix C.3--the proposed guidelines should be incorporated into Evaluation Handbook.
4. Develop better evaluation and other abstracts--have them written in field by participants.	Various abstracts were compared to identify characteristics likely to be most helpful to users of the DIS. The comparisons and suggested changes in preparation of abstracts (e.g., have them produced in the field by participants in the projects) are shown at Appendix C.4. It is recommended that the DIU office review the suggestions and consider revision to current instructions.	Revisions to DIS instructions pending--Appendix C.4.

A. Improving Information on Experience

3. Rating of Evaluations

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1983
1. Include Mission comments on evaluation in report, including Mission view of replicability.	Produce a set of guidelines for Mission use in preparing comments on evaluation reports and secure Mission version. For copy of proposed guidance see Appendix C.6.	Experiment completed. The draft revision to the Evaluation Handbook is ready for final review/adoption.
2. Develop index for quality of evaluation and reliability of findings.	NA	PPC/E currently developing system under contract.

A. Improving Information on Experience

4. Other Experience Documents

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1983
1. Reinstate End-of-tour reports for Project Managers.	End-of-tour reports from Mission Director were reinstated as a requirement in 1982. Staff reaction/feed back to the idea suggests End-of-tour reports be required of project managers and made a condition of post clearance procedures--with the reports remaining in Mission files for use of successors and in preparation of project completion reports. Handbook Three should be reviewed accordingly.	Pending consideration by PPC/E and possible incorporation as a requirement in Handbook Three.
2. Develop more case studies of successful projects thought to be generalizable.	Produce a case study of a successful project and guidelines for producing such studies. For copy of the study and guidelines produced see Appendix C.5. The case study and guidelines should be considered by the Training Division of S&T and others who undertake to write-up case studies for training or information purposes.	Experiment completed. Utilization of guidelines and "model" study pending.
3. Expand the Project Completion Report (PCR) to constitute a more effective evaluation of accomplishments.	Handbook 3 does not provide adequate instructions with respect to PCRs. A proposed revision to the format of PCRS was prepared which calls for specific data.	Experiment completed--at Appendix C.6. Initial reaction suggests requirement is too detailed and difficult to apply to many projects.
4. Utilize existing Project Implementation Reports (PIR) and add an evaluation dimension.	The PIRS used by each Bureau could be made useful as evaluation comments by addition of a prescribed set of output measures and judgements. A model for possible use was developed and reviewed by Asian Bureau.	Experiment completed--Appendix C.7 Ready for consideration as Agency policy. Initial agency reaction negative.

5. Assist agency staff to write experience based articles for general publication by arranging writing "teams" if needed.	Staff have little incentive/time to prepare articles on successful projects.	S&T has retained ghost writers to prepare articles on technical success. None published yet.

B. Improving Communication & Dissemination of Information

1. DIS/DIU Improvements

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1982
1. Improve user guidance and training in use of DIS.	The Bureau responsible for DIU/DIS should develop improved user guidance and training programs. An experiment should be developed by the DIU/DIS officer, or under contract to test improvements in one geographic Bureau.	Experiment recommended. Develop user manual and present training sessions to Mission. Measure change in number of DIU requests.
2. More direct access capability	The MIS "revolution" promises direct terminal links between DIS and field Missions within a very few years. The Agency is urged to coordinate/ integrate its PAIS and DIS systems as appropriate. A special study of the technical details will be needed. The limited experience with sending DIS data to USAID/Egypt for on-site search should be studied for wider application.	Action pending. Compare citation/ quality of design documents before and after installation of improved access capability. Compare frequency of staff uses.
3. Improve search priorities in DIS a. order of priorities b. alternative displays	Could limit volume of material in response to DIS requests to an amount more likely to be read and partially substitute for staff in analysis/research unit. The software capability can and should be built into project system.	Suggested experiment would sort DIS entry by additional categories/ country,stage of development, type of adminstration/to produce a more narrowly targeted list.
4. Develop process for tracking and verifying receipt of documents which should be in DIS.	PPC/E should implement the suggested improvement. There are missing items as well as long delays in incorporating items into DIS.	Pending review by PPC/E.

5. Improve document abstracts in DIS.	Current abstracts not prepared by those familiar with development or project design. When abstracts are prepared by participants this problem will lessen. Even though some existing abstracts could be improved if revised by participants, this is not recommended as a priority action, due to extra work load involved.	No action proposed.
6. Add on line access to other relevant data bases.	Current technology would permit access through DIS terminals to a number of national and specialized data bases outside AID. A technical programmatic and financial study should be made to determine the cost and benefits to AID of such inter-connections.	For consideration by PPC/DIU.
7. Once a year provide to USAID a computer run of DIU holdings for their country.	Provide selected USAID's a print out of DIS holdings for their country for their appraisal.	Print outs of DIH holdings were prepared which could be sent to three Mission Directors inviting their appraisal of the utility of the information and suggestions for improvement.

B. Improving Communications & Dissemination of Information

2. Improved Conditions for Use of DIU

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1983
1. Reinstate DIU Analysis Unit.	Expeditious and high quality responses to queries made of the DIU involve both improvements in input to the DIS and in processing of DIS output and other DIU resources. Even with maximum technical improvements to DIS and improved quality of inputs, there will remain a need for staff to select, interpret and package materials not stored electronically.	Decision deferred pending reassessment of DIU functions after transfer of DIU to PPC from S&T. That transfer was affected in March, 1983.
2. Provide research assistants to summarize information on experience for AID staff.	An alternative to reastablishment of a full research unit in DIU would be for evaluation offices in operating Bureaus to use research assistants (short term graduate students?) to provide concise summaries of precedents for project design teams and review committees. This could call for more junior officers in the AID/W complement grade mix. It is recommended that one or more Bureaus experiment with this idea.	Hire graduate students to prepare summaries prior to project design or review. Survey project design and review offices to determine extent to which this material is used; compare selected design documents before and after.
3. Implement system for automatic searches for selected categories of projects. a. Pre-PID b. PP preparation c. evaluation design	Automatic searches for relevant historical experience was planned when DIS installed but not implemented due to workload and doubtful use of materials. If today's large DIS holdings can be searched more selectively and easier the information could be of value to the design process. Recommend one geographic Bureau undertake automatic DIS search on a demonstration basis and as part of effort to improve DIS performance.	Institute experimentally in one bureau and compare citations, quality of design documents before and after introduction.

4. Require contractors to perform DIU search prior to project design assignments.	Increased reliance on contractors for project design introduces problems in access to AID's memory and experience. The oral tradition is weaker. Contractors could access considerable AID experience by a DIH search. This has been utilized by the LA Bureau. It is recommended as standard practice for design teams. PPC/E should initiate a proposed revision to Handbook 3.	Action pending in PPC/E.
5. Require DIH search/literature review prior to approval of PID or PP.	Some PIDs and PPS include bibliography of documents considered for prior experience with similar projects and one Bureau requires such references. Even with the prospect this will be treated as just a formality in some cases the potential benefits from learning from prior experience should justify the requirement for DIU search and recording of references consulted.	For consideration by PPC.
6. Develop periodic user reports which show who is not using DIU.	Improved user gudiance and training programs to strengthen DIU's preformance require a knowledge of why DIU's resources are not used more fully. A sample survey of the target audience for DIU's service can lead to improved service.	For consideration by DIU.
7. Move DIS back into PPC.		

*This item was omitted from voting process.

B. Improving Communication & Dissemination of Information

3. Other Sources of Information

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1983
1. Present evaluation findings at Mission Director conferences and Technical Workshops.	Review of use being made of evaluation findings confirmed the widespread staff perception that evaluation reports are not widely read, in part due to paper "overload". On a selective basis and mindful of "agenda crowding" it is recommended that key evaluation findings be reviewed and discussed at Mission Director's conferences and other workshops.	Option pending senior management review of this report.
2. Strengthen USAID libraries.	PPC and Management should collaborate in preparing guidelines for establishment and support of USAID libraries.	For consideration by PPC and M.
3. Distribute annual list of evaluations.	This is accomplished for Impact Evaluations by the cumulative list of evaluations included in each evaluation. The Asia Bureau now circulates annual lists of PES and special evaluations. It is recommended that this practice be instituted for all evaluations. This requirement should be included in the Evaluation Handbook.	The recommendation can be implemented by simple revision of the Evaluation Handbook.
4. Issue Administrator's guidance incorporating findings from synthesis of multiple evaluations (cf. item A.1.1. above).	The Administrator should be given the opportunity to identify with and circulate the two page synthesis of AID experience by sector.	The synthesis of Agricultural Research evaluation findings is ready for consideration by the Administrator.

5. Develop newsletter or articles in AID publications about evaluation of experience or lessons learned.	Specialized newsletter on evaluation and research well received in the past (Latin American Bureau). An agency wide flyer of this type was contemplated by some staff members.	Independent of this recommendation, the Office of Public Affairs has taken the initiative to add a special section on lessons learned in AID's two main publications-- Front Lines, and Horizons.
6. Make and distribute videotapes of experience information. a. O&A with senior staff b. special meetings/ conferences c. presentations by noted experts d. case studies of projects	Recommend PPC/E, OPA and the Training Division (M/PM/TD) dedicate increased resources and effort to communicate AID experience using video tapes. Missions have equipment to use the tapes and some Missions (brown bag staff lunches, lending or providing selected tapes to host countries) use them with imagination.	For inital consideration by PPC/E.
7. Provide lists of AID personnel experienced with similar projects and project designs.	Recommend adoption of this suggestion. DIU should be able to retrieve. Suppport oral tradition.	Low rated, but inexpensive once DIU is prepared to do it. Might expand demand for interchange between AID staff.

C. Structural Changes & Incentives

Improvement Suggested	Experiment or Action Recommended	Status as of March 31, 1983
1. Issue a policy statement on use of development experience.	PPC shoudl consider adding this item to the list of policy papers to be prepared.	For consideration by PPC.
2. Enhance PPC/E link to sector councils	PPC/E liaison would channel evaluation findings into sector councils. It is recommended some form of regular communication of evaluation findings be provided to sector councils.	For consideration by PPC.
3. Split projects into phases; require evaluation and response to evaluation prior to funding subsequent phases.	Early results from phasing of AID support apparently justified increase in the practice. A documentation of several examples would be helpful in deciding how much emphasis to give to this practice in the future. This enquiry would be made in connection with ongoing evaluation.	This practice is now quite common in AID. Validation of results is for consideration by PPC/E.
4. Increased use of universities and other organizations or centers of excellence.	It is recommended that S&T and PPC identify and build a larger group of U.S. universities, research institutes and similar organizations which share common interests and expertise with AID, and work out reciprocal arrangements for recurring and systematic exchange of information. DIU should determine how such information could best be accessed by the AID staff.	For consideration by PPC.
5. Improve link between evaluation and budget decisions.	This suggestion goes beyond the scope of the present study.	NA

6. Provide career incentives for publication of articles/books on AID experience by AID staff.	The staff with the most hands-on experience with economic/social development (AID) produce a few published material on its experience. The S&T Bureau is encouraging more university and professional interaction with AID staff. Yet not many AID professional or career staff author or co-author experience based reports for publication. It is recommended that AID provide inducements for its staff to publish their experience. Academic training might well be reserved for this purpose.	For consideration by PPE. S&T Bureau is proceeding to record AID experience (e.g., rice production in Indonesia) by use of outside contractors.
7. Focus budget, staffing and organization around priority programs.	While relevant to learning from experience, the suggestion goes beyond the scope of the ADL study. No recommendation is made. Several persons interviewed did point out the benefits to AID's population programs of close link between that program and budget, staffing and organization.	For consideration by PPE.
8. Invite host governments to sign PID, PP and Evaluation Reports.	No recommendation is made for this suggestion which is somewhat beyond the scope of the ADL report.	For consideration by PPE.
9. Use audit reports to follow-up on response to evaluations.	Would provide a mechanism to track Mission response.	Currently under discussion between IG and PPC.

10. Make substantive training in Agency experience and history more clearly part of the career path.		
11. Increase time at post and overlap of assignments	No recommendation considered appropriate to the ADL study.	For consideration by PPC.
12. Assign more FSO's to evaluation positions--particularly in Studies Division.	Recommended adoption of the recommendations as a direct means of utilizing field experience.	For consideration by PPC.

APPENDIX C

EXPERIMENTAL EFFORTS

APPENDIX C 1. SYNTHESIS OF MULTIPLE IMPACT EVALUATIONS

EXAMPLE: "AGRICULTURAL RESEARCH"

GUIDELINES FOR PREPARATION OF SYNTHESIS OF AID EXPERIENCE
BY SECTOR OR SUB-SECTOR

AID's evaluation programs as they have evolved in recent years have produced a large quantity of project evaluation reports. A short form synthesis by sector or sub-sector of the lessons learned from evaluation reports on a particular subject will facilitate AID use of past experience. A sample two page synthesis has been prepared of lessons learned from agricultural research projects.

Persons preparing comparable statements of experience in other sectors should benefit from the following guidelines developed from the sample synthesis:

1. Review pertinent documents on the subject in the files of the Program Evaluation Systems Division (PPC/E/PES).

2. Meet with and solicit ideas from the subject matter specialist in the Studies Division (PPC/E/S).

3. Discuss the task with subject matter specialists in each of the geographic bureaus and the Bureau of Science and Technology (S&T).

4. Review key information available through the Development Information Unit (S&T/E/S).
   a. Special reports and documents are available through the AID Library.
   b. Project summaries, evaluation abstracts and project listings available by print-out from DIU's data bank.

5. Interview other persons knowledgeable of the subject inside and outside AID.
   a. The DIU print-outs often identify authors of project documents.
   b. Bibliographies and discussions while carrying out the steps above will identify other knowledgable persons.

6. Check ideas, conclusions and draft statements frequently with the AID officers most directly concerned with the topic.

7. Use a research assistant if one is available to pore through the mass of DIU documents and print-outs. Consider use of University students available on a volunteer basis.

8. Every word counts. Keep the summary to two pages as shown in the sample.

As for content of the synthesis of multiple evaluations, it should quickly communicate to a busy decision maker, project reviewer or project designer the fundamental conclusions he/she would distill from a full review of the available studies and would apply to the questions of particular interest in his/her position.

The cover sheet should report the pay-off from AID's investment in the sector or sub-sector as definitively as data and informed judgment permits. A series of evaluations will always show some scatter in the results of different projects. This may range from success to failure. However, an attempt must be made to identify the average project results. This can at least orient those considering future similar projects to past AID experience. The comments by experts at sector review workshops will be helpful in identifying or corroborating general conclusions. The exercise will probably not be a successful one unless it identifies a substantial body of general conclusions as to impact of AID investment in the field being reviewed.

The page which lists lessons learned should distinguish, as does the model, between the preconditions in the host country favorable to project success and the particular project design characteristics favorable to success. In both cases an effort should be made to list items in declining order of importance. Truisms should be avoided.

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LESSONS LEARNED FROM EVALUATION AND REVIEW
OF AID ASSISTANCE TO
AGRICULTURAL RESEARCH PROJECTS

Over 20 years, AID has assisted agricultural research projects in more than 40 countries. By and large, the projects have included both institutional development elements and research in specific agricultural areas.

Impact and other evaluative studies of AID funded agricultural research projects and programs have shown that:

- Institutional development elements, including the training of LDC researchers, tend to achieve their substantive objectives and the recurrent costs of these operations tend to be met by local sources after AID assistance ends.

- The research programs of the organizations AID has assisted tend to be technically good. Researchers in these institutions evolve into being full members of their international peer group (if they weren't when AID assistance began.)

- The number of agricultural researchers and scientists expanded rapidly, rising from 13,000 to 30,000 between 1971 and 1980 with a large part of the increase due to AID assistance.

- The demonstrable success of research programs in affecting significant changes at the farm level has varied greatly by crop and project.

- AID funded work with adapting hi-yield rice and other cereal crops to local conditions has been associated with dramatic on farm changes.

- These changes have been greatly facilitated by the success of the international agricultural research centers in development of hi-yielding seed prototypes.

Agricultural research projects undertaken in Indonesia, Korea and Tunesia illustrate the positive results and production increases which are possible from projects adhering closely to the guidelines attached.

Impact evaluations of agricultural research in Kenya, Central America, Guatemala, Nepal and Thailand illustrate the generally positive yet mixed results to be expected when one or more important project component or host-country/USAID support feature is deficient.

As part of the effort to evaluate and draw lessons from AID's experience with agricultural research projects a thorough pattern anlaysis was undertaken early in the sector review process designed to ". . . serve as a basis for forming judgments and hypothesis about program and project efficiency and performance, effectiveness in reaching stated objectives, and impact on development goals". Unfortunately, both the quantity and quality of the data found in the large number of evaluation documents reviewed were insufficient to permit rigorous comparative analysis that would lead to generalizable lessons learned regarding the agricultural research sector. Information on why certain approaches had succeeded and others failed was not adequately treated in the basic evaluation documents. It was not possible from review of the evaluation documents themselves to make a determination of which factors are more critical to project success than others. Nor did the evaluation documents permit identifying causal relationships.

Fortunately, the International Workshop held at the end of the review process was able to consider the evaluations documents in the context of discussion among a group of experts and arrive at a concensus as to a number of the important lessons learned from AID's experience. The lessons learned as identified on the following page represent a synthesis of proceedings of the June, 1982 Workshop. It is hoped that AID's evaluation system, which has been improving in quality in recent years will someday permit a more definitive, rank ordered set of criteria which accurately reflect confidence interval between items, co-linearity and identification of a "set" of minimal conditions required for project success.

LESSONS LEARNED FROM EVALUATION AND REVIEW OF AID ASSISTANCE TO AGRICULTURAL RESEARCH PROJECTS

Important lessons have been learned from evaluation and review of agricultural research projects assisted bilaterally by AID. A number of these lessons extend beyond the conditions peculiar to particular countries. They show that agricultural research can increase farm income and productivity provided the following conditions exist and the project design includes the elements listed below. Furthermore, projects planning and implemented within the framework of these criteria tend to run smoothly, to impact on food production on a broad scale and to be a credit to AID and to the United States. An effort has been made to list items in descending order of importance.*

Country conditions favorable to success

1. The host country (political leaders, development planners, technical specialists) are committed to agricultural research as a long term priority.
2. Price and other policies are conducive to expanding production of crops being researched.
3. Complementary support services are in place or being put in place, e.g., extension service, farming inputs, marketing and credit, local infrastructure of roads and irrigation.
4. Incentives are adequate to retain profes sional staff (salaries, career opportun opportunities, benefits).
5. Coordination is encouraged between research, extension and education.
6. Attitudes favor regional coordination of agricultural research.

USAID conditions favorable to success

1. Presence of a Mission staff (Project Manager or technician) with knowledge and understanding of agriculture and agricultural research issues.
2. Mission capability and willingness to provide required logistic support and problem-solving assistance to contractor/host country.

Project design characteristics favorable to success

1. A good case is made the research planned will produce results of value to farmers.
2. Measures are provided to encourage adoption by farmers of results of the research.
3. Research activities are directed toward existing constraints and problems at the farm level.
4. The private sector is consulted and encouraged to do as much as it can to achieve project goals, e.g., provide for seed multiplication and marketing.
5. The agricultural research project is located in the appropriate Ministry or agency of the host government, i.e., the one allowing most effective linkages to related institutes and field stations.
6. Linkages are established between other related in-country, and international research institutes.
7. The training plan is adapted to local needs and conditions and is scheduled to have staff on duty when needed.
8. Project designers understand existing farm practices.
9. The plan calls for project technicians to spend considerable time with farmers for farm level feed-back.
10. The plan calls for systematic on-farm test ing of research findings.
11. The host country and donor view agricultural research as a long term venture with project life of up to 10 years with options to extend.
12. The research staff forms a multi-discipli nary team (natural scientists, agricultural engineers and economists, social scientists, farm systems and information specialists).
13. Agricultural research is viewed as a support service to a farming system - not an end in itself.
14. Adequate logistics and other support is provided for foreign technicians - by host country or USAID - to relieve key scientists of housekeeping and administrative burdens.
15. Grant funds are provided for logistics sup port of U.S. technicians if host country resources or sensitivities do not permit support comparable to that provided USAID staff.
16. Base line data has been/will be collected (simple and practical to situation) to per mit verification of results.

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* Fuller treatment of lessons learned from AID's review of its assistance to agricultural research projects is available from:
AID Evaluation Working Paper No. 45, a background paper which summarizes and reviews the findings of AID's eight impact evaluations of agricultural research projects.
AID Impact Evaluations No. 2,14,27,30,33, 34, Tunesia, and unnumbered evaluations in Tunesia and West Africa
AID Program Evaluation Discussion Paper No. 13, AID Experience in Agricultural Research: A Review of Project Evaluations.
Proceedings of a Workshop on Impact of Agricultural Research, June 13-17, 1982. Prepared for AID by the International Agricultural Development Services (IADS).
AID Program Evaluation Report No. , a synthesis of the documents listed above.

APPENDIX C 2. SECTOR SUMMARY OF MATERIALS IN THE DIS DATA BANK

EXAMPLE: HIGH LEVEL MANPOWER TRAINING

Guideline for Identifying A.I.D. Experience in Sectors/Subsectors Not Covered by Impact Evaluations

From time-to-time there is need for a quick review or analysis of A.I.D. experience in a field for which experience has not been summarized or summaries are out of date. When policy papers are to be prepared or at anytime the question of A.I.D.'s past experience with a particular sector or subsector arises, it is important that the Agency memory can be tapped systematically and expeditiously. The tools are available within A.I.D.'s existing information and evaluation systems with which to put together such a synthesis of experience based information.

An example of such a synthesis is provided in the attached review of high-level manpower training projects. The topic was chosen because an Agency-wide policy paper was due to be prepared for human resource and high level training. Summary data did not exist for past experience. The review required approximately fifteen days of research.

For the benefit of others who may be called upon to prepare similar summary statements the following steps were taken to produce the sample summary.

1. The Office of Development Information and Utilization (DIU) was requested to provide a computer print-out of a list of all projects in which high-level manpower training was a principal activity. The list was provided within three days.

2. From the project listing some 30 projects were selected by title for full print-out of DIU holdings. The list was provided three days later. It contained project summary descriptions, the logical framework for each project, and abstracts of evaluation and audit reports.

3. Parallel with the above, the researcher read a variety of background reports and material in the Office of Evaluation files and DIU central library.

4. Copies of the full text of Project Evaluation Summaries (PESs) were sought for the 28 projects chosen for close examination. Five hard copies of PES documents were located by visiting regional bureau evaluation offices. The DIU was also asked to

provide copies of PES documents for the 28 projects. This was both to test the system and to get the full texts for review. The latter process required more than 30 days for delivery. The delay meant the DIU provided PES documents were not available for use in the 15 day (three week) period of the analysis.

5. A pattern analysis was undertaken using all available materials to identify experience which would appear to be of relevance to an understanding of A.I.D. world-wide experience with high-level manpower training projects.

6. The resulting text was shown in draft to PPC officers responsible for preparing the pending policy paper and for on-going studies in the field of evaluation. Their comments were incorporated into the attached text.

Observations Arising From a Quick Review of A.I.D. Documentation and Evaluation of its Experience with High Level Manpower Training Projects

A. Purpose

The immediate purpose of this document is to provide a quick summary of A.I.D. experience with high level manpower training projects. This is an area for which A.I.D. is in process of developing a policy paper and for which summary data of experience has not been compiled. Impact evaluations, follow-on workshops, etc. have not been undertaken for this or a number of other categories of projects. The questions have been raised as to whether or not the data stored in, or available by reference to, A.I.D.'s data bank could be useful in development of policy papers or for other related, planning and policy reasons. The larger purpose of the document therefore is to ascertain what useful experience based information can be acquired from A.I.D.'s memory bank which can assist with policy formulation.

B. Background

A.I.D. continues a very active role in training high-level manpower. This is in spite of A.I.D. allocating a smaller percent of its resources to the education sector than any other major donor. USA.I.D.s from countries representing a wide range of stages of national development and geographic areas have identified the shortage of adequate numbers of university trained and other skilled manpower to be a major constraint to achievement of LDC and A.I.D. development objectives. An active A.I.D. role continues in high level training in spite of a clear preference expressed by A.I.D.'s central policy staff in the 1970s for a shift of emphasis in A.I.D.-assisted education programs from higher education to basic and non-formal education. This preference was likewise imbedded in FAA legislation in those years and included very clear language discouraging the use of A.I.D. funds for university level education.

Cursory review of A.I.D.'s education project portfolio suggest that none of these policy admonitions had great effect in reducing attention to training of high level manpower.

The record does show a number of basic and non-formal education projects were authorized during the 1970s. Most

of these projects were small and experimental in nature and do not appear to have impacted greatly on allocation of program funds.

In addition, university level agricultural education continued to receive large allocations of funds, largely negating the shifts of emphasis among education sector projects. This is not particularly surprising in view of the special support for agricultural education from the land grant college community in the United States and the unusually strong and continuing interest in this subject by the Congress as expressed in Title XII of the FAA.

In line with policy pronouncements, some General Participant Training Projects were phased out. This appears to have been in response to criticism by Congress of high level training and the rising cost of such training. Yet even here the actual impact on high level training was largely illusory since individual development projects included substantial funding for long-term overseas training. Presented this way, in which a clear link was established between project objectives and training, the high level training does not appear to have been objectionable to the Congress. Otherwise, objections could have been anticipated when large and increased amounts of high level international training work proposed in new projects as was the case in the population and energy fields and with agricultural research.

High Level Manpower Training Projects -- A Special Category?

The growth of long-term training as an important element in development projects was accompanied by design of more sophisticated "training only" projects. Typically, the training only projects cover a number of subjects but are specifically designed to overcome a shortage of skilled manpower identified in project papers and assessed as constraints to effective planning and administration of particular development programs. Compared to some of the earlier General Participant Training Projects, the newer manpower development projects are more targeted and training plans are often developed and implemented with help of contractors. Some of the projects include institution building among the objectives of training and give emphasis to in-country training utilizing foreign technicians.

This category of projects is funded under a variety of titles. In Jordan, Turkey, and Yemen Arab Republic, the

title is Development Administration Training; in Indonesia it is Professional Resources Development; in Egypt it is Peace Fellowship in one project and Development Planning Studies in another; in Lesotho it is Manpower Development Training.

These high level training projects, by whatever name, have been growing in number in recent years and could today represent the Agency's largest commitment in the field of education. The source of funds has included each of the major funding accounts as well as a growing emphasis on public and private sector management training.

Indeed, the use of various funding accounts presents a special problem in identifying A.I.D.'s "education" program. Projects funded under the formal education account, Sec. 105 of the FAA, grossly overstate A.I.D.'s role and interest in basic education, while understating its human resource development effort.

A.I.D.'s basic and non-formal education projects have been the subject of a series of Impact Evaluations and a conference was held in February 1982 to review this sub-sector and assess what had been learned. There has been no comparable endeavor with respect to agricultural university development (Title XII), or with respect to the group of projects reviewed in this paper under the title "high level manpower development."

D. Quick Review of A.I.D.'s High Level Manpower Training Projects

In an effort to arrive at a quick summary analysis of A.I.D.'s experience with high level manpower training projects, A.I.D.'s Office of Development Information and Utilization (DIU) was asked for an index of such projects. This produced a very long list of projects, primarily grouped under two broad headings: Higher Education, and Participant Training. From these lists, 28 projects were selected for review. Projects examined are listed in Part C below. Title XII agricultural university projects were excluded as representing a special case. Projects were selected which appeared by their title to be addressed to the problem of shortage of broad management and administration skills needed to carry out or to train others to carry out development programs. An effort was made to exclude general participant training (GPT) projects although the distinction between high level manpower training for targeted development needs and GPT projects is not an easy distinction to draw. This

distinction is particularly hard to draw in some Africa projects where high level manpower training as such has received special emphasis for a number of years.

The DIU staff provided print-outs of all information stored in its automated memory bank on the short list of projects. The print-outs indicated that 18 projects had been evaluated one or more times and that ten projects had not been evaluated. It appeared that none of the projects had been evaluated more recently than 1980. For this reason, and to sample contents of the full text of project evaluations, five PES hardcopy texts were reviewed. Three had been prepared as recently as 1981. Also consulted were special studies of A.I.D.'s education and participant training programs located in the Office of Evaluation. Some of the documents consulted are identified in Part E. They represent only a beginning of a bibliography for an in-depth study of the subject.

The factors listed below characterize A.I.D.'s experience with the projects examined. The conclusions are necessarily tentative as they are based on quick and partial review of data which itself was quite limited. A more thorough study would be required to produce a definitive list of lessons learned and to establish clear patterns. Such a definitive list would proceed naturally from a targeted series of Impact Evaluations and follow-on sector summary, workshops, etc. The review did reveal a disconcerting lack of consistency in data included in the evaluations of basically similar projects. For example, it was not possible to identify clearly and uniformly the number of persons trained nor the length or level of training. Future instructions dealing with preparation of evaluations would do well to call for such statistical information to be included in appropriately identified sections or boxes on the PES face sheet.

1. Project evaluations of high level manpower training assign high rating to most factors considered. <u>This suggests manpower training is among the most successful type projects in A.I.D.'s portfolio</u>. The majority of evaluations find little fault with host country selections of persons for training. Special care given to selection of candidates for training is identified as an important factor in success of training. Failure to give due attention to future job placement was cited as a deficiency in an otherwise very successful manpower training effort in Turkey. In general, training projects were judged highly successfully in terms of completion of planned

training, return to positions for which trained and retention on the job for which trained or moving to a higher position. Evaluation of several of A.I.D.'s largest and most targeted manpower training projects found return rates to be in the range of 98 percent and effective placement over 90 percent. The PES documents do not support the impression held in some quarters that large numbers of A.I.D. trained persons fail to return to their country and take up useful work. Only one unsatisfactory evaluation was found among all the projects reviewed. This was in Central America. Even there the failing related more to institution development than to training per se.

2. Some of the more recent projects for training of high level manpower are based on an assessment of overall manpower needs for particular development programs or departments of government concerned with development programs. They include in-country training as well as out-of-country training. Typically there is a technical assistance component for contract services to help plan for and carry out in-country training for much larger numbers of officials and staff than are sent out-of-country. The contractor participates in screening and preparation of candidates for training and placement in U.S. or other training institutions. Several evaluations point out the value of monitoring trainees during training and helping assure that training is relevant to the host country needs. These features have distinguished some of the most successful "manpower training" projects from earlier "general participant training" projects. It is important to note, however, that manpower training projects are a refinement and improvement on general participant training projects rather than a completely separate type activity. The large manpower development projects underway for many years in Africa, for example, have incorporated features of the more recent manpower training projects. There appear, nevertheless, to be useful lessons from A.I.D.'s experience which, if widely shared, would strengthen virtually all future high level manpower training projects. Nepal provides an example of recognition of the need for including in-country training as part of the project. Yet this element of the Nepal project was not successful due to inadequate funding and attention by A.I.D. to the in-country component. It was left as a declared objective of the project but was not followed-up with a specific plan to accomplish the objective. A good

example of effective combination of in-country and out-of-country training was provided in Brazil during the mid-1960s and 1970s through a project to improve tax administration and other administrative reforms.

3. Neither A.I.D. nor host countries seem to have found ways to document in any comprehensive way the real value of high level training programs. Evaluation documents do, however, cite numerous examples of returned participants who are playing leadership roles in fields for which they have been trained. Perhaps as much as in any other field evaluation documents rate training projects to have been "successful." "A Statistical Review of the First 36 A.I.D. Project Impact Evaluation Reports" prepared by an outside consultant to A.I.D. (Kurt Finsterbusch) found that "The types of projects with the best record of success were the education and rural electrification projects." While the projects reviewed by Finsterbusch did not include manpower projects per se, they did include projects with many similar features. As noted above, of 17 projects for which PES documents or PES abstracts were reviewed, all but one project was judged to have been satisfactory or higher. Unfortunately, the evaluation documents are not of sufficient uniformity or comparability to permit a very precise rating of findings. The evaluations do, however, provide a sufficiently positive set of ratings as to suggest a satisfactory degree of achievement of goals and purposes of the projects. Some projects do provide for periodic follow-up on individuals who have been trained and in due course should permit a longer term assessment of goal or purpose achievement, particularly if continued for some years after completion of training.

4. Project evaluations reveal high level manpower training projects to be relatively easy to implement. Normal delays and implementation problems are reported yet the projects do not seem to be staff-intensive for A.I.D.. Contractors have been generally effective and outputs achieved.

5. Some types of high level manpower training appear rather clearly to be related to stages of economic growth. For example, during the 1960s and 1970s A.I.D. provided extensive overseas training and in-country technical assistance to Brazil to help develop or improve tax administration, development

planning, budget and fiscal management at both national and state levels. A decade later, in the mid-1970s A.I.D. undertook to provide somewhat comparable assistance to Indonesia. Yet there was no reference to the Brazil or other related A.I.D. experience as the Indonesia projects were being planned and approved. No doubt A.I.D. will some day initiate similar projects in other countries.

6. Cost sharing of scholarship to strenghten faculty for universities in Latin America and Africa proved an effective means of stretching A.I.D.'s dollars to expand training opportunities. From 1966 through 1980 the Latin American Scholarship Program at American Universities trained, 1,458 in graduate level programs with A.I.D. only funding 26 percent of total costs. The participating U.S. universities waived tuition and fee costs and the Latin American University provided 19 percent of costs. This successful program is little known outside the Latin American and African regions in A.I.D.. It could possibly be replicated in some other parts of the world, particularly as incomes rise. It could have application in middle income countries as bilateral aid is phased down. To avoid continuing aid as such to A.I.D. graduate countries, the training funds could be administered through regional funds as was done in Latin America.

7. Some manpower training projects which included institution building (as in Tanzania) did not assess realistically host country budget resources to support the project when completed, and underestimated problems contractors would encounter in providing resident technical assistance staff. Other projects (also in Africa) appear to have over-estimated the level of training required for the position being filled. A "Development Leadership Training" project designed for Mali seems to have overcome some of the problems experienced elsewhere in Africa by providing for a U.S. contractor team of professors to help plan training needs and then monitor the progress of training with the aim of assuring proper trainee selection, pre-departure processing and especially mid-course review of relevance of training being received to real needs.

8. Several evaluations which report interviews with persons who have been trained suggest need for special efforts to try and make overseas training more relevant to the work situation of the persons being trained. A Botswana project evaluation stressed this point as did several others. Nevertheless, the majority of evaluations seem to have found training to have been relevant to job requirements. An evaluation of training for Portugal which was based on a particularly well-planned series of interviews found that 73 percent of 193 persons interviewed believed their U.S. training to have been relevant to their needs. Active involvement of the trainees in planning the training specific programs was cited as a large factor in success of the program.

9. Manpower training projects which included U.S. technicians to assist with overall manpower needs assessment, to identify specific training requirements, conduct short in-country courses on management, etc., appear to combine features particularly useful to developing countries. Evaluation documents cite examples of reduced effectiveness from U.S. technicians who do not receive what they consider to be adequate logistic support. One evaluation was very explicit in advising against separate logistic support for contractors than that provided for U.S. direct hire staff.

10. Several projects made reference to training being made available to the private sector as well as the public sector. This is the case for Peace Fellowships in Egypt. Evaluation reports do not, however, indicate how or the degree to which this is being achieved and leave the clear impression the preponderance of training is for the public sector.

11. Like several other general issues characteristic of out-of-country participant training (items 12 and 13 below), deficiency in command of the English language affects high level manpower training adversely. Efforts to improve command of English have been undertaken in a number of projects. Some of the experience and approaches adopted should perhaps be applied more widely. A special review of A.I.D. experience with this particular problem might be warranted. Coordination with USIS would be a high priority. In several countries PL 480 funds might be

appropriately allocated for English language programs. Given the allocation of over half of all A.I.D.'s development funds for agriculture and agriculture related projects (Sec. 103 of the FAA) conversion of P. 480 loan to grants for this purpose under Title III might be justified.

12. Insufficient pre-departure orientation was a frequently cited problem both for trainees leaving country for training and for U.S. technicians being sent to developing countries.

13. Inadequate per diem was cited in a number of evaluations as an inconvenience and hardship for trainees, especially per diem allowance for large cities in the U.S. This was cited with sufficient frequency as to indicate a widespread problem.

14. Some regional training institutions have proven very effective and economical in providing training tailored to local needs. Such training may also contribute to foreign policy goals of strenghtening regional cooperation. Project evaluations indicate the complex of regional training institutes coordinated by the Southeast Asia Ministers of Education Organization (SEMEO) accomplishes these goals for that region.

15. USA.I.D. Indonesia found it important to schedule monthly coordinating meetings between host country, contracting and USA.I.D. staff to review implementation of approved manpower training projects. It was found there were a number of relatively small issues and details of training programs which if left unattented seriously compromised the success of the projects.

16. Several evaluations reported decisions by USA.I.D.s and host countries to substitute long-term resident technicians for planned short-term specialists. This was done to have on hand an experienced person knowledgeable of host country conditions. Short-term specialists to assist with in-country training programs were found effective in other cases.

17. USA.I.D. Kenya introduced several useful features to its participation in the African Manpower Development project. It determined training needs in part by studying foreign advisor positions for which Kenya counterparts were not available. Training was then planned to replace the foreign technicians. The

Kenyan mission also made a cost comparison between training in a number of locations in Africa and elsewhere.

18. Only a few evaluations stressed the relationship of A.I.D. projects to training projects being funded by other donors. This would seem to be an area for further examination.

D. Partial List of A.I.D.'s High Level Manpower Training Projects

Country/ Proj. No.	Title	PES(s)	Funding (thousands)	Persons Trained ***
*Portugal 150-0001	Tech Consultation and training	No	$3,000(G)	400 short term
Egypt 263-0110	Peace Fellowship Program	No	$54,000(G) FY 79-85	900 21 months 1,000 10 months
Turkey 277-0396	Development Administration Training	Yes	$3,539(G) FY 65-77	45 long term degree 23 short term
Jordan 278-0214	Development Administration II	No	$2,000(G) FY 79-85	30 long term degree
Yeman Arab Republic 279-0040	Development Training II	Yes	$15,906(G) FY 78-86	? long term
* Nepal 367-0224	Manpower Development Training	Yes	$593(G) FY 73-80	98 long term(?)
Indonesia 497-0275	Professional Resources Dev. II	No	$5,000(L) FY 78-84	100 long term degree 50 short term 8,000 in-country
Indonesia 497-0300	Energy Manpower and Training	No	$1,000(G) FY 80-84	30 long term degree 5 short term
* Indonesia 497-0261	Professional Resources Dev. I	Yes	$5,900(L) FY 78-84	59 long term degree 75 short term
* Indonesia 497-0248	Higher Education Dev. Training	Yes	$5,700(L)	91 long term degree 184 short term degree
Asia Regional 498-0246	Regional Scholarship program	Yes	$2,505(G) FY 75-81	785 long and short term
Brazil 512-0122	Tax Administration Devel. Planning Budget/Fiscal Mgmt. State Government	Yes	$2,427(G) $3,677(G) FY 65-80	125+ long and short term 500+ in-country

Country/ Proj. No.	Title	PES(s)	Funding (thousands)	Persons Trained ***
		(CONTINUED)		
Chile 513-0172	Training for Development	Yes	$1,590(G) FY 66-77	?
Dominican Republic 517-0125	Rural Development Management	No	$800(G) FY 81-84	4 long term 8 short term 510 in-country
Uruguay 632-9345	Economic and Management Training	Yes	$402(G)? FY 74-79	39 total
Cen. Amer. and Panama (ROCAP)	Professional and Higher Education	Yes	$3,900(L) FY 72-77	100-200 a year, long term
L.A. Region 598-0453	LA Scholarships at American Universities	Yes	$22,019 FY 66-83(G)	1,550 long term degree
* Lesotho 632-0006	Manpower Development Training	Yes	$7,000(G)? FY 78-82	48 long term 10 short term 420 in-country
Kenya 615-0189	Rural Planning II	No	$3,575(G) FY 80-85	24 degree 1,060 in-country
Tanzania 621-0119	Argicultural Manpower Development	Yes	$7,083(G) FY 73-82	?
Cen/W.Afr. Regional	Sahel Manpower Development	Yes	$9,725(G) FY 78-88	200+ long term degree 200+ short term
Zaire 660-0068	Devel. Manpower Training	No	$2,594(G) FY 80-84	11 long term degree 1,000+ in-country
Chad 677-0065	Comprehensive Human Resources Development	No	$2,400(G) 2,333(G) FY 77-81	2 long term degree "Many" in-country
* Botswana 690-0083.1	So. African Academic and skills training	Yes	$1,313(G) FY 77-81	169 long and short term ___ in-country
Mali 688-0221	Dev. Leadership Training	No	$4,566(G) FY 81-83	? long and short term and and degree

Country/ Proj. No.	Title	PES(s)	Funding (thousands)	Persons Trained ***
		(CONTINUED)		
Afr. Regional 698-0062	Afr. Graduate Fellowship	Yes	$18,376(G) FY 63-80	1,200 long term degree
Afr. Regional 698-0384	Afr. Manpower Development	Yes	$44,000(G) FY 76-88	1,100 long term and degree
* Afr. Regional (Kenya) 698-0384	Afr. Manpower Development	Yes	$1,145(G) FY 77-81	10 long term, degree 30 short term

* Full PES documents reviewed.

E. Bibliography

1. "An Evaluation of The USAID/Lisbon Participant Training Program and a Suggestion for a Standardized Participant Training Evaluation Methodology", in draft, September, 1982, USAID/Lisbon.

2. "A Statistical Review of the First 36 AID Project Impact Evaluation Reports", in draft, August, 1982. Kurt Finsterbush.

3. "Proceedings: Agency for International Development, Education Sector, Impact Evaluation Conference", Marriottsville, Maryland, February 15-17, 1982.

4. "Investments in Education in Developing Countries: The Role for AID", May 7, 1980. AID

5. "Why Should AID Invest in Education: Why Should Anyone?", PPC/PDPR/NR in collaboration with DS/ED and the Regional Bureaus, March 25, 1980.

6. "AID Assistance to Education - A Retrospective Study", Creative Associates, February, 1980 (Method and Shaw), AID/OSB.

APPENDIX C. 3

Better Summaries of Project
Evaluation Reports:

Summary of Existing Formats;
Proposed Instructions for Revised
Summary and Example
("Nepal Education")

SUMMARY DOCUMENT INSTRUCTIONS AND PROTOTYPES

SUMMARY ELEMENT	EXISTING PES	DRAFT PES REVIEW 1981	AFRICA BUREAU - EVALUATION GUIDELINES	ASIA BUREAU - GUIDELINES FOR DEVELOPING AN EXECUTIVE SUMMARY	IMPACT EVALUATION - LESSONS LEARNED TWO PAGER (IMPACT EVALUATION HANDBOOK)
A. FORMAT/DATA COLLECTION					
1. Standardized structure and format	YES	YES	Structured by 11 required questions	YES	NO
2. Includes form for data collection & entry	YES narrative + summary	YES narrative + summary	NO	NO	NO
3. Length limitations	form + 2,000 words	400 word abstract 2 pp. single space summary + form	≤5 pages	2 pages - single spaced	maximum 2.5 pages
4. Contractors identified:					
- Design & implementation	NO	NO	NO	YES	NO
- Evaluations	NO	YES	NO	NO	Implied in authorship
5. Financial Data Required:					
- project estimates	YES	YES - (US only)	NO	YES	Included in example, bt not a specific requirement
- current expenditure levels	NO	NO	NO		
6. Provision for comments on evaluation					
- Mission	NO	YES	NO	NO	NO
- AID/W					
7. Bibliography	NO	YES	NO	NO	NO
8. Identify key participants					
- Project	YES - project officer and host country	NO	NO	NO	NO
- Evaluation	NO	YES	NO	NO	by listing authors

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SUMMARY DOCUMENT INSTRUCTIONS AND PROTOTYPES

SUMMARY ELEMENT	EXISTING PES	DRAFT PES REVIEW 1981	AFRICA BUREAU - EVALUATION GUIDELINES	ASIA BUREAU - GUIDELINES FOR DEVELOPING AN EXECUTIVE SUMMARY	IMPACT EVALUATION - LESSONS LEARNED TWO PAGER (IMPACT EVALUATION HANDBOOK)
9. Identify host country agency	YES	NO	NO	YES	NO
10. Cost of evaluation	YES - minor item under methodology	Contractor cost only	NO	NO	NO
11. States percentage of goals/objectives achieved	YES	YES	NO	Can be included in "findings"	Implicit in project description in example
12. Timing of evaluation in project lifecycle	Can be inferred from document date and project dates	YES	NO	NO	Assumed to be after completion
B. CONTENT					
1. Self-contained document - includes current project description	Describes current situation - but reference to PP may be necessary for full understanding	YES - also includes form items to show change in project design	NO	YES	Stand alone document, but detail of project may be limited
2. Structure tied to LOGICAL FRAMEWORK	YES - structures key element of summary	Used to describe project and specify progress, not to structure entire summary	NO	NO	NO
3. Identification of Findings of General Applicability	YES (Lessons Learned section)	YES (Lessons Learned)	Implicit in some questions	YES - Project Design and Policy Implication	"Lessons Learned Two Pager"
4. Recommendation on Action Items Indicated	YES - on form	YES (for decisions or action taken)	NO	YES - Recommendations	NO

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SUMMARY DOCUMENT INSTRUCTIONS AND PROTOTYPES

SUMMARY ELEMENT	EXISTING PES	DRAFT PES REVIEW 1981	AFRICA BUREAU - EVALUATION GUIDELINES	ASIA BUREAU - GUIDELINES FOR DEVELOPING AN EXECUTIVE SUMMARY	IMPACT EVALUATION - LESSONS LEARNED TWO PAGER (IMPACT EVALUATION HANDBOOK)
C. EVALUATION ISSUES					
1. Evaluation Methodology Described	YES	YES	NO	YES	NO
2. Discussion of Evaluation Data	YES	YES	NO	NO	NO
3. Requires Estimate of Impact on Beneficaries	YES	YES	YES	NO	Discussed but not quantified in example
4. Requires reference to special interests:					
- women	NO	YES	NO	NO	Included in example
- environment	YES (unplanned effects)	YES	NO	NO	Included in example
- private sector	NO	NO	YES	NO	NO
5. Requires reference to appropriateness of technology	NO	Mentioned as part of project description	YES	NO	Indirectly discussion in example
6. Requires Reference to Unplanned Effects	YES	YES	Implicit in example used for Question 11	NO	Discussed in example
7. Intended to Cover All Types of Evaluations	NO		Readily adapted to most type of single project evaluations	Easily adapted	YES
8. Flexibility to include multiple evaluations	NO	List provided	No; unless projects are very similar	Easily adapted	Implicit

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Guidelines for Evaluation Summaries

The following guidelines reflect the consensus of A.I.D. Washington evaluation officers on common elements to be included in a summary of any evaluation. The attached example shows the result of using these common elements in summarizing an Impact Evaluation of A.I.D. assistance to education in Nepal. As part of preparing this summary, evaluation authors should also prepare a one-paragraph abstract (see Appendix A.4). The summary should be short enough to read with good retention in less than five minutes (i.e., 2-4 pp single spaced). Avoid unnecessarily complicated explanations of the project or the evaluation methodology -- the interested reader can find these in the full evaluation report. Get all the critical facts and findings into the summary, for a large proportion of readers will go no further.

1. Purpose of the project. What constraints or opportunities does the project address; what is it trying to do about the constraints? Specify both the problem and the solution proposed by the project.

2. Purpose of the evaluation. Why (and at what stage---interim, final, impact) is the evaluation being undertaken. What are the key issues to be evaluated? What hypotheses about the project were tested?

3. Types and quality of evidence used to access impact. This should include the methodology, but also the quality of the data used and the extent of confidence in the data and findings. Do not recite details of interviews or observations -- specify only the type and distribution of field visits or interviews. The summary may briefly comment on the utility/reliability of data generated internally by the project.

4. Findings. This should be confined to clear cut facts or answers to hypotheses tested -- not interpretations.

   A. Basic facts:

      - Summation of data on delivery of inputs and production of outputs

      - Clearly documented causes of management and input delivery problems (do not rehash

individual problems identified in monitoring reports)

- o Estimate the degree to which the project attained specified goals and the unit cost of outputs delivered.

B. Complex facts:

- o Measures of social/economic cost benefit, if available
- o Quantified results of the hypotheses tested concerning the project's effect on overall development
- o Unintended side effects; positive and negative.

5. Conclusions (about this project). Interpretations of the basic facts and findings concerning the success of the project. Can conclusions be reached? Include in this section value judgments such as:

- o The project is/is not sustainable
- o The project is/is not effective in achievement of overall development goals.

6. Recommendations for this project and its offspring (in the country studied). This section should include key findings for A.I.D. follow-up concerning design and management of this project, plus key findings concerning approval/disapproval and fundamental changes in any follow-on projects.

7. Lessons Learned (for other development projects and A.I.D. generally).

A. External validity. Findings/conclusions about this project that bear on the design/management of other projects, other activities.

B. Broad action implications. Things about this project which suggest action beyond the project and beyond simple use in designing other projects, i.e., policy implications, procedural recommendations (e.g., re host country contracting), other things that need to come to the attention of some other part of A.I.D. in an action form.

8. Mission action: Key follow-up actions. What is the Mission going to do based on the findings, conclusions and recommendations of the project and when they are going to do it (i.e., modify the logical framework, add inputs, etc.).

9. Mission comment: This should be a brief one paragraph summary of Mission response to the evaluation (see guidelines for Mission Comments).

MODEL SUMMARY

A.I.D. Impact Evaluation Report #19
U.S. A.I.D. to Education in Nepal:
A Twenty-Year Beginning

1. Purpose of the Project

In 1951, only 2% of Nepal's population was literate and only 1% of children were receiving schooling. The illiterate population was viewed as a major constraint to national integration and economic and social development. In the period from 1954 to 1975, U.S. A.I.D. was the major source of outside funding for education in Nepal providing $16.6 million; $9.1 million for primary education. This assistance included:

- U.S. training of Nepali educators and educational planners.
- Technical assistance in the development of early education plans and curricula.
- Assistance in the development of text books and text book distribution systems.
- Assistance in building schools and teacher training colleges.
- Direct budget support for teachers salaries.
- Assistance in some innovative education programs, such as the radio education project.

2. Purpose of the Evaluation

The study evaluates the twenty-year involvement of U.S. A.I.D. in education in Nepal, and includes several parts:

- A statistical survey of the growth of education in Nepal (which is of more than usual interest because the U.S. was the dominant source of outside aid).
- A review of the current status of education in Nepal based on interviews with government officials, including an attempt to:

- identify unresolved or growing problems

- assess the success or failure of particular U.S. program initiatives

o a field survey (125 interviews) of attitudes toward innovation, public health, social status (of women), fertility and development generally, and the level of education received

3. Types and Quality of Evidence Used to Assess Impact

1. Growth of education and U.S. role.

While some statistics may be unreliable, the growth of primary and secondary education is clear.

Measure of Output	1951	1975
Number of students	8,505 (1%)	401,035 (59.0%)
Number of schools	321	6,708
Number of trained teachers	20	7,287

2. Interviews with school administrators and direct observation consistently support the findings on current education quality and problems discussed below.

3. Attitudes of the population.

Survey was consistent in questions, but not random in administration. Greater geographical dispersion was not possible because of travel difficulties. Authors report attempts to avoid rural tourism biases, but expect some caste bias.

4. Findings

1. Because of the dominance of U.S. A.I.D., substantial credit for rapid educational growth can be attributed to U.S. assistance. If the 2.1 million students receiving some teaching from 1954 to 1975 are taken as beneficiaries, the A.I.D. cost per beneficiary is $4.24.

2. Literacy rate has increased very rapidly from negligible base.

3. Current rapid growth in the number of students and teachers is reducing the percentage of fully qualified teachers, and the quality of instruction in many schools is limited.

4. Repair and maintenance of school buildings is not adequately funded.

5. A percentage of students drop out before achieving functional literacy -- suggesting the need to adjust school schedules so that students can work on family farms at peak seasons without dropping out of school.

6. Textbook development and distribution are successful despite primitive transport network.

7. Original vocational education design was a failure and not oriented toward existing economy (by inference, too closely patterned on a U.S. model).

8. Field survey shows that higher levels of education are positively correlated with attitudes favorable to development including:

   - smaller desired family size
   - willingness to innovate in agriculture
   - more integration of women
   - higher aspirations for children

5. Conclusions

Evaluation concluded that A.I.D.'s efforts in Nepal were instrumental in the rapid growth of public education, and that this educational drive has improved attitudes for development. The Nepalis now have a well motivated educational planning system heavily staffed by A.I.D. trained administrators (87% of those trained (260/300) have been retained) and the national commitment to education is well supported and sustainable. The rapid growth in the number of teachers may be jeopardizing the quality of teaching, with a larger percentage of untrained teachers, and funds for maintenance of school buildings are still not adequate.

It may be argued that U.S. A.I.D. assistance did not produce sufficient innovation to deal with unique education problems in Nepal, although the radio instruction program is cited as an effective way to upgrade primary school teaching without losing teachers to secondary schools and other opportunities.

6. Recommendations

There were no project specific recommendations because this was a retrospective Impact Evaluation. By inference, however, the evaluation suggests that other programs supporting rapid educational development such as the one in Nepal should place greater emphasis on innovations which can respond to the strain of rapid growth in the numbers of students and teachers (such as the Radio Instruction Program).

7. Lessons Learned

1. A.I.D. assistance in a program as basic as education can have a major effect if it is sustained over a long period, at least when the contributions are of the relative magnitude provided in Nepal.

2. The failure of the vocational education program is consistent with other program design failures where the needs of the local economy are not recognized. In this case, vocational education was planned too late (after 8-10 years of schooling) when the remaining students were an educational elite. Such training should have been provided before most students drop out of the system (4-6 years) and must be tailored to local economic needs.

3. The effect of education in creating important attitudes for development (family size, acceptance of innovation, etc.) suggests that it would be a mistake for A.I.D. to neglect support of primary education in its development strategies.

8. Mission Actions

Because this is a retrospective impact evaluation, there are no specific recommendations for Mission action.

9. Mission Comments

No mission comments are included, although reference to conferences with GON and Mission suggest that negative comments are not extensive.

APPENDIX C.4

Improved Abstracts:

Summary of Current Approaches;

Draft Instruction for Author Preparation

of Abstract and Example (Nepal Education)

COMPARISON OF EXISTING ABSTRACTS

	DIS/DIU	NEAR EAST BUREAU	PROFESSIONAL JOURNAL
1. Prepared by:	professional abstractors, must read unfamiliar	Bureau personnel, some familiarity with project but not the author of evaluation • abstractor identified	Author
2. Length	long paragraph	full typed page, single spaced	one paragraph
3. Value of project ($)	NO--elsewhere in data file	YES--separate item	N.A.
4. Author of Evaluation Indicated	YES--includes the author's organization	Sometimes	YES, wherever indexed
5. Style	"informative"--third person--some wasted words "The evaluators' discussed"	"informative"--some third person--"the report by PCI on which the PES is based"	"indicative"--direct statement of results
6. Project Description	short--more detail can be referenced elsewhere in project file	very brief (under separate heading) sometime there is more detail in body of abstract	very brief--one or two sentences

COMPARISON OF EXISTING ABSTRACTS (continued)

7. Purpose of Evaluation	NO (but may not have been clearly articulated in original document)	NO (but this may not be fault of abstractor, report may assume or be unclear about purposes of the evaluation	YES
8. Methodology of Evaluation	not necessarily	NO (generally missing)	YES
9. Evaluation Findings	YES (considerable detail on project implementation status)	YES (considerable discussion of identified implementation problems	YES
10. Project Specific Recommendations	YES	YES	Sometimes
11. Lessons Learned (Conclusions of	not necessarily	YES (specific component may be pushing the value of underlying material in some evaluations	occasionally, often excluded from original document

not clearly differentiated in some examples

Abstracts

The evaluation abstract is a one page invitation to read the Evaluation Summary (and perhaps ultimately, the full evaluation report). It will be included in the automated data base, and perhaps other quick reference guides such as index files in Mission libraries. After reviewing the abstract, the reader should know:

- If the project has characteristics or purposes similar to the effort he is considering.
- The strength of the methodology and data supporting the conclusions.
- The findings and conclusions most likely to be of interest to other projects.

Previous abstracts have often been deficient in one of two ways:

- They contain too much detail on project design and implementation, causing the reader to loose interest before he determines if there were important findings of interest to him.
- The descriptions are written in abstract language which prevents the reader from getting a real flavor for the project.

In sequential sentences, the abstract paragraph should include:

- Purpose and fundamental design characteristics of project
- Type of evaluation and the primary methodology or data sources used
- Most important conclusions about the project itself
- Key lessons learned -- for many interim, or even project completion evaluations, there may be no entry here. Do not stretch the evaluation by putting vague generalities in this section. Better to leave it blank.

Avoid passive tense and vague adjectives. Use relevant numbers where available. The best abstracts are modelled on those submitted to scientific research journals. The following example is based on an Impact Evaluation of A.I.D. Education projects in Nepal, as summarized in the example in Appendix C.3.

Model Abstracts

Over a 20-year period from 1954 to 1975, A.I.D. expended $9.1 million to support primary education in Nepal, including support for textbooks, curriculum development, school buildings and training of educators and administrators. This Impact Evaluation reviewed available output data, interviewed Nepalese officials and visited selected sites. The study included a survey of attitudes toward development and the correlation to levels of education in 125 respondents. A.I.D. assistance was found to be vital in educating 2.1 million students over the period at a contribution of $4.24 per student. Primary education is firmly established and sustainable, but rapid growth in the number of students and teachers endangers the quality of teaching, while repair and maintenance of school facilities is inadequate. Innovative approaches were limited, except for a radio teacher education project, and vocational education programs failed because they were patterned too closely on a U.S. domestic model. Attitutes conducive to development were positively correlated with the levels of education received by the respondent's in the survey.

APPENDIX C.5

Case Studies:

Draft Instructions and Example:

BANEX

Preparation of Case Studies

Purpose. A case study should illustrate an A.I.D. sponsored project with significant implications for development and future projects. In general, the project should be worth replicating in other countries at a similar stage of development. Occasionally, the study may illustrate particular problems in design or management to be avoided in future projects.

The case study should be concise and brief (5-10 pages). It should contain all the significant information necessary for the reader to comprehend the project and its management as understood by A.I.D. administrators in the country at the time the project was implemented, plus subsequent evaluation data which sheds light on aspects of success and failure in the project. The case study should be self-contained (unlike academic case studies which may be developed with data gaps to stimulate class discussion). The case study should offer evidence of success or failure and concrete illustrations of design and implementation problems and their resolution--not general conclusory statements.

Keep the prose terse -- avoid passive tense, abstract words, and bureaucratic conventions. In general, the case study should contain the following elements.

1. Limited background information. This should be given from the point of view of A.I.D. mission at the time and should include the following:

   - Selected economic statistics describing the host country economy and the particular development problem to be addressed.

   - Relevant recent political history (change in government, political pressures on the existing host country administration)

   - Previous A.I.D. projects in this country in the same field.

2. Key actors. It is important for readers to understand just how a creative development project is born. A brief sketch of the key actors in developing the project should include their official position and assignment and past experience which influenced

project development. Key actors described may include:

- o A.I.D. Mission staff
- o Host country officials
- o Consultants, host country businessmen, or others critical to generation of the project.

3. Description of the problem and project opportunity. Briefly describe the problem the project was designed to address. In the same section, describe any factors which provided an unusual opportunity for the project, e.g.:

   - o A reform of the national banking system providing an opportunity for a new rural credit mechanism
   - o A change in Ministers providing support for a new rural health program
   - o A group of recently trained agricultural scientists provides the nucleus for a new crop research institute.

4. Genesis of the project idea. If creative new project ideas are to surface, we must understand how previous ideas developed into successful projects. Discussion in this section would include:

   - o The original source of the project idea
   - o Manner in which the project idea came to the attention of A.I.D.
   - o Sources of support for the idea
     - in the host country
     - in the A.I.D. Mission
     - in Washington
   - o Modifications in the original idea as it was considered by A.I.D. (including the reasons for these modifications).

5. Resources available to support the project. Often a creative idea can fail because there are inadequate resources to fund the project. From the point of

view of the A.I.D. Mission Director, review the resources available and the way in which they were applied to the project. Note particularly the way in which 'unconventional' resources were added to the project. Discuss staff resources as well as funds. Include:

- o A.I.D. Mission funds and staff
- o Other A.I.D. funds and staff
- o Host country government funds and staff
- o Other donors
- o Host country private sector contributions

6. Implementation. This section should avoid a detailed retelling of implementation problems identified in progress and monitoring reports. Summarize critical problems which endangered the project, and identify the solutions to these problems. Note particularly the elements of the project which proved particularly successful at the local level, e.g.:

   - o Reliance on local private sector fabricators to create new irrigation equipment.
   - o Use of existing voluntary organizations to disseminate family planning information.
   - o Use of a new savings instrument to increase deposits in a credit institution.

It is also important to note any changes in the project design which occurred because of reviews and evaluation during approval and implementation.

7. Evaluation and conclusions. Avoid global generalities. Where good quantitative data is available (from evaluations or other sources) showing project accomplishments in relation to plan, these data should be cited. In addition, the judgmental conclusions of Mission and host country personnel should be included. Do not simply quote favorable opinions; state the evidence supporting these opinions. Whenever possible, identify the aspects of the project which proved most successful, the reasons why these aspects were deemed successful, and relevant comments about the transferability to other

countries or cultures -- as identified by the project participants. (The case study should not become an independent evaluation document.)

If possible, give updated information on the project (or the problems addressed by the project) at the time the case study is written, supplementing information in the most recent project monitoring or evaluation reports.

BANEX

An Innovative Private Sector Approach to Export Development in Costa Rica

In 1980, the A.I.D. Mission in San Jose surveyed a rapidly deteriorating economic situation in a country which had been a showcase of stability and democracy in Latin America. After two decades of continuing growth, the Costa Rican economy was in trouble, with external factors (rising oil prices, falling commodity prices) excacerbating structural problems built into the economy by the policies of the preceding decades.

The colon began falling -- from 8.5 to the dollar in early 1980 to 53 to the dollar in late 1982. Inflation rose to an annual rate of 100%, with unemployment rising to 14% of the work force in this country of 2.3 million people.

From 1960 to 1978, the GNP of Costa Rica rose 6.1% per annum. Investment in industry was oriented towards products for the protected domestic market and the Central American Common Market. Agriculture slipped from 26% of the GNP in 1960 to 18% in 1980, but agricultural commodities (coffee, bananas, meat, sugar) remained the principal source of hard currency.

During this period of growth, the middle class in Costa Rica prospered while the country maintained political democracy with complete literacy and high health and welfare standards. The economy is mixed, with a strong private sector, but the government owns certain primary industries including transportation, cement, and petroleum refining. These public sectors have taken up to 35% of industrial investment in recent years. The banking system was nationalized in 1948, and privately held financial institutions cannot accept demand deposits.

Government employment grew as a proportion of the economy and 20% of the workforce now works in the public sector. Government deficits forced substantial borrowing, both internal and external. Foreign debt rose to an estimated $4 billion. Devaluation and the overhanging foreign debt, as well as the demands of the government in local credit markets, dried up traditional sources of credit for Costa Rican industries.

The private sector in Costa Rica is sophisticated and well-organized, with good communications through a variety of industry groups. In discussions with his peers, Guiliermo von Breymann of the Costa Rican consulting firm of Breymann Torres y Asociados developed some ideas for improving the access to capital for local industry. Von Breyman's studies had shown that a number of West German firms controlled the financing and marketing of coffee--the dominant crop. These firms provided growers with credit necessary to finance the next coffee crop, which then put them in a position to dominate the marketing of the crop. Von Breymann and Costa Rican businessmen in the coffee industry believed that this financial control caused a disproportionate percentage of the benefits from coffee to flow out of Costa Rica.

Von Breyman's answer was a bank to provide working capital and export credit for growers. The concept was broadened to include all agroindustry, not just coffee, and von Breyman took the idea to the USA.I.D. Mission. After brainstorming with Mission Director, Steve Knaebel and A.I.D. staff members Bastiaan Schouten and Bill Phelps, the concept was refined to focus exclusively on financing exports for non-traditional markets. This focus was based on extensive analysis by the Mission which identified export development to be an essential requisite for Costa Rica's economic recovery and consequently for its ability to achieve social and economic objectives.

The analysis conducted by the Mission revealed that for firms to export successfully, export financing would not be enough. Firms would also require extensive help in identifying and capturing market opportunities, tailoring products to market specifications, and generally overcoming the difficulties of international marketing. Schouten and Phelps believed that a trading company could provide these functions. Furthermore, they were convinced that integration of the export and marketing support functions with the export credit facility, within one institution, would address the constraints faced by potential exporters in the most effective and efficient manner. In their view, integration of the Banco Agro Industrial y de Exportaciones (the financing vehicle) with Banex Trading (the marketing support vehicle) under one privately held corporation was one of the most important and unique characteristics of the project.

In May, 1981, the Mission submitted a PID for a $5.5 million A.I.D. loan to the new corporation. From the perspective of Schouten and Phelps the uniqueness of this

project was based on the way in which it was developed. As a result of extensive dialogue between the Costa Rican private sector and the Mission, a group of entrepreneurs brought their initial concept to A.I.D. for its consideration. The Mission's responsiveness to the initial idea, together with a thorough analysis of the problem and continued dialogue with the private group, led to the evolution of a project which met both the private group's objectives and the development objectives of A.I.D..

Detailed analysis of the financial feasibility of the BANEX project after submission of the PID suggested that A.I.D. support should be increased. In September 1981, the Project Paper was approved for a $10 million USA.I.D. loan to supplement $2 million in capital put up by Costa Rican shareholders of BANEX. For the first three years, 100% of the spread between the interest rate on the A.I.D. loan and interest charged to BANEX borrowers is funneled into the new trading company, BANEX Trading. After this start-up period, BANEX Trading will receive 50% of the financing spread until this source of funds is no longer needed by the trading company.

The Banco Agro Industrial y de Exportaciones began to operate immediately with the approval of the A.I.D. loan in September, 1981. Dollar proceeds from the U.S. loan are held in a Panamanian subsidiary to protect them from Costa Rica's monetary problems and devaluation of the colon. The Bank has been quite successful at generating colons for internal lending by offering savings certificates to domestic depositors. To date, dollar disbursements to export oriented borrowers are on schedule as planned in the project paper. The domestic savings certificates have enabled BANEX to extend working capital loans in colons as well.

The trading company subsidiary--Banex Trading--was formed in February, 1982. A contract was signed with the World Trade Institute--an offshoot of the Port of New York Authority, to provide hands-on assistance in developing a marketing support capability in Banex Trading. Training of Banex staff was to be provided through the identification and implementation of mechanisms for serving firms interested in developing exports. This reflects the basic purpose of Banex, which is to stimulate export development by tailoring export and market support services to the needs of specific firms in combination with export credit.

One particularly successful mechanism has involved matching products which are produced in Costa Rica with market opportunities abroad. Steps are then taken to match specific producers with potential buyers by providing sample exposure of the product, bringing back counter-samples to the producer, and generally assisting in a brokerage capacity. Other mechanisms being developed include promotion of re-export contracts, assistance to small-scale exporters to increase export volumes by diversifying their markets or expanding their distribution network. Although to date most of Banex Trading's services have been provided on a commissioned or fee basis, the company is also able to purchase and re-sell merchandise.

Banex actively solicits firms which appear to have export potential but need credit and marketing support. Although many interested individuals come to Banex's offices to apply for loans or to inquire about BANEX Trading, efforts are made to solicit additional business. Of particular interest to Banex are firms purchasing products with a significant market potential but which are lacking both the necessary financing and marketing know-how.

Former Mission Director Knaebel and his staff admit that the project was "risky" when viewed in the light of traditional A.I.D. experience. The concept surfaced before the new agency emphasis on private sector development and was initially discouraged by some key A.I.D.-Washington officials. However, Mission staff recognized the BANEX concept as an essential element for implementing an export development strategy, without which there would be no overall economic recovery and Costa Rica's enviable social and economic achievements would be jeopardized. The strong and sophisticated private sector in Costa Rica gave von Breymann's idea credence. Mission staff were prepared to put the extra effort into project development and analysis to get the new concept through agency scrutiny. Agency Administrator McPherson views BANEX as a prototype for creative cooperation between A.I.D. Missions and the indigenous private sector in other countries.

APPENDIX C.6

Proposed Changes in Reporting

1. Project Implementation Reports
2. Project Completion Reports
3. Mission Comments on Evaluation

Draft Forms and Instructions

Suggested Steps to Improve Utilization of Information on A.I.D. Experience
(for Mission Review)

Recent work by PPC/E and Arthur D. Little suggests that a number of steps could be taken to increase the utility of the DIS Information System and the willingness of A.I.D. staff to make use of past experience (including evaluations) in project design and funding decisions.

Five such steps are described below. Each of these steps would include incorporating into the DIS certain information on the Mission's view of a project which was formerly missing or included only in end of tour or project completion reports in Mission files. This information would include quantified data on project achievement which could be used for statistical analysis of project "effectiveness." Mission comments on evaluation studies will also provide an important field perspective in possible subsequent use of these evaluations.

We want to acquire this information in an economical way which minimizes work in the field, and preferably reduces total reporting requirements. To do this, we are suggesting a modular approach which builds on existing Project Implementation Reports (PIR) and also exploits newly increased flexibility in scheduling regular evaluations. Elements of the approach are as follows:

1. Inclusion of quantified indications of progress against project output objectives in semi-annual Project Implementation Reports (PIR). (See Attachment A - proposed example).

2. At the end of a tour, an A.I.D. officer would leave in the project file a brief End-of-Tour-Report on each project for which he is responsible for the benefit of his successor. This memo would provide information on current management issues. It would identify key host country and other contacts and other information necessary to manage the project. These reports would contain statements (quantified where possible) of project progress to date against planned outputs and objectives (based in part upon the PIRs).

3. A brief two-part project completion report on each project. One part would have substantive recommendations for Mission management (possibly including sensitive comments about the host country)

which would be used in the Mission and kept in the project file. A separate part of this Project Completion report (see attachment B for proposed example) would be submitted for inclusion in DIS. It is based upon the PIRs and End-of-Tour-Reports and would include information summarizing the Mission's view of the completed project (which is now absent from the project file in DIS).

4. To keep material in the DIS to a minimum, abstracts of project evaluations and project completion reports would not recapitulate the entire project. Abstracts should be 400 words or less. They should note changes which have been made to the project since PP authorization or the prior evaluation abstract which reported such changes. Draft Evaluation Handbook instructions for preparation of abstracts would be provided at a later date.

5. The Mission would submit comments on project evaluations with evaluation summaries. These comments would be accessed through DIS. Mission comments would allow those using the Evaluation to understand the Mission view of evaluation results, and could result in a greater willingness to rely on evaluation conclusions. Draft Evaluation Handbook instructions for preparation of Mission comments are shown in Attachment D.

We would appreciate your comments on the viability of these initiatives. We would also like your comments on the specific content of Attachment A (addendum to PIR), Attachment B (data elements - Project Completion Report), and Attachment C (Mission Comments on Evaluation).

ATTACHMENT A

Proposed Supplement to Project Implementation Report Instructions

This one page supplement is designed to capture data on progress against project outputs and purposes in addition to the narrative discussion of project management and implementation problems currently reported.

It can be completed very quickly, by the project officer as follows:

1. Take the three most important project outputs (fewer if appropriate) and state each output next to the word output above each line.

2. State the unit used to measure output next to the word unit above each line.

3. Scale the line by placing above the line at the 100% point the total planned production of this output at project completion. Intermediate points may be shown on the scale if desired.

4. Place a P on the line indicating the amount (% of project total) for this output which was planned to be delivered at this stage of the project.

5. Place an A at the appropriate part of the line indicating the number (% of project total) for this output actually delivered to date. Indicate this number in parentheses next to the A.

6. Repeat for remaining outputs.

7. For project purposes, repeat steps 1-5 for the three most important purposes. Where purpose cannot be quantified, the project officer should show P & A as a % of total project purpose in his best judgment. Units need not be entered.

Attachment A

A.1 Outputs. Indicate the current status of this project in meeting the planned outputs in the Project Paper (as modified to date). Take outputs from the logical framework.

1) Output: Units:

units

%	10	20	30	40	50	60	70	80	90	100	110	120

2) Output: Units:

units

%	10	20	30	40	50	60	70	80	90	100	110	120

3) Output: Units:

units

%	10	20	30	40	50	60	70	80	90	100	110	120

A.2 Purposes. Indicate the current status of this project in meeting the planned purposes in the updated Project Paper. Take purpose from the Logical Framework.

1) Purpose: Units:

units

%	10	20	30	40	50	60	70	80	90	100	110	120

2) Purpose: Units:

#units

%	10	20	30	40	50	60	70	80	90	100	110	120

3) Purpose: Units:

units

%	10	20	30	40	50	60	70	80	90	100	110	120

Attachment B:

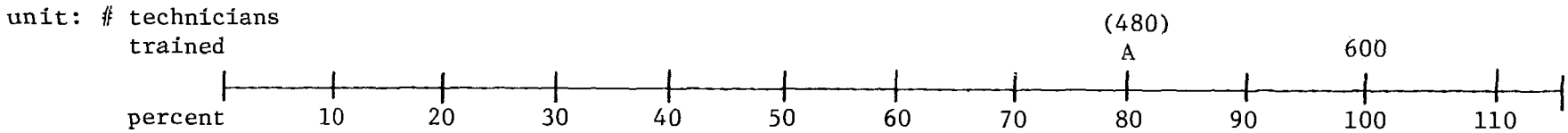
Project Completion Report

A = actual volume of output at project completion

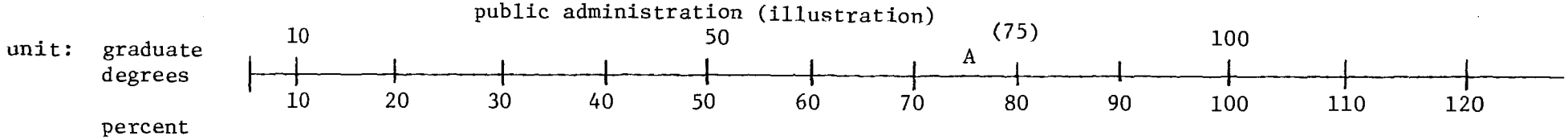
Information to be Incorporated in Data Base (DIS)

1. Note the outputs achieved by the project in relation to planned outputs. Let planned output as shown in revised PP equal to 100%. Show actual output by placing an A on the scale.

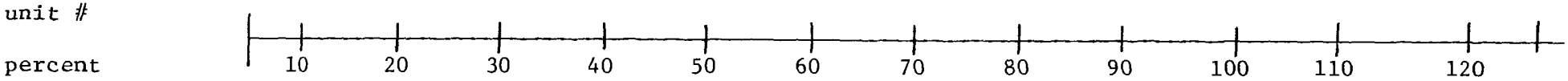
a. Output 1: Number of technicians receiving short-term training in country (illustration).



b. Output 2: Number government personnel receiving graduate degrees in management/ public administration (illustration)



c. Output 3:



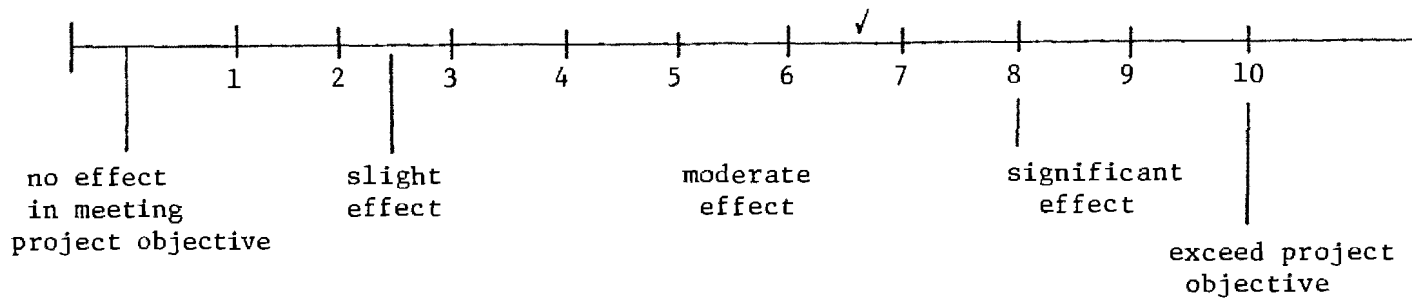
Attachment B: (continued)

2. Was the project effective in meeting the project goals? Give short, subjective appraisal.

3. Purpose:

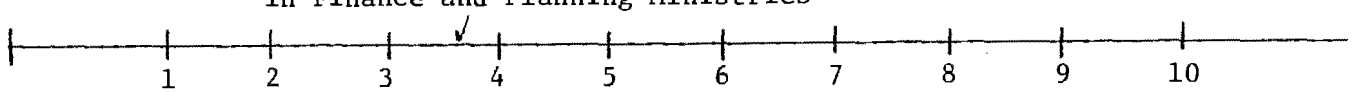
Was the project effective in meeting project purposes? State purposes as shown in project Log Frame. Please check mark next to appropriate point on scale.

a. Purpose: To improve the capacity of host country government to manage development projects.

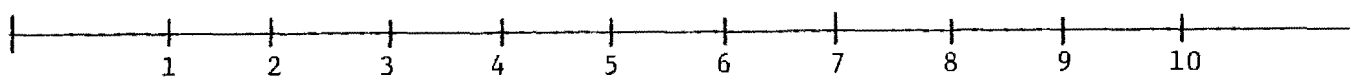


b. Purpose 2:

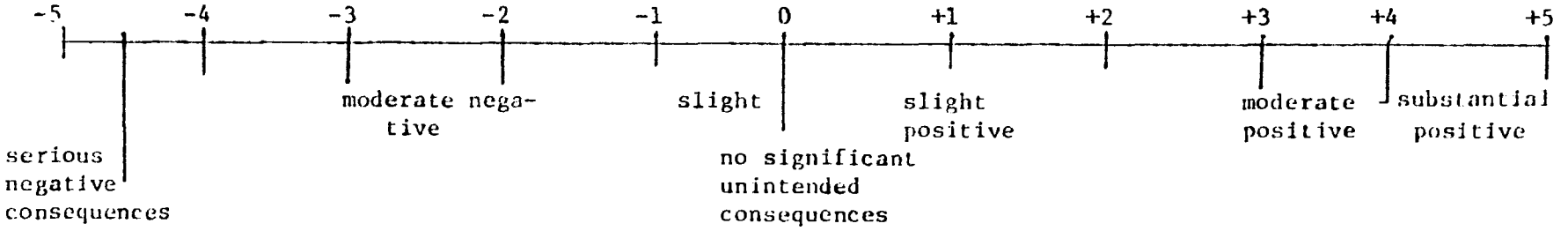
To improve internal revenue generation capability by raising level of competence in Finance and Planning Ministries



c. Purpose 3:



4. How would you rank the impact of the project in causing unintended consequences not included in the project goals and objectives?



LIST NEGATIVE CONSEQUENCES

1.

2.

3.

LIST POSITIVE CONSEQUENCES

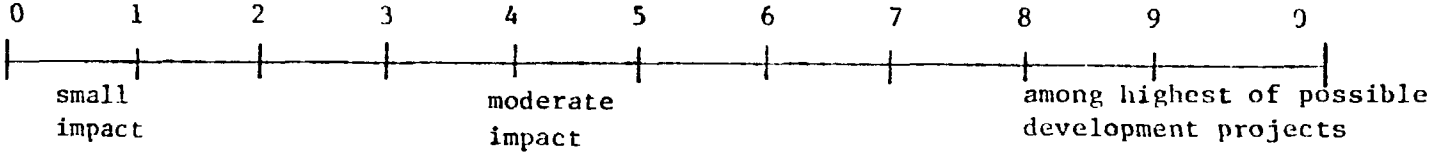
1.

2.

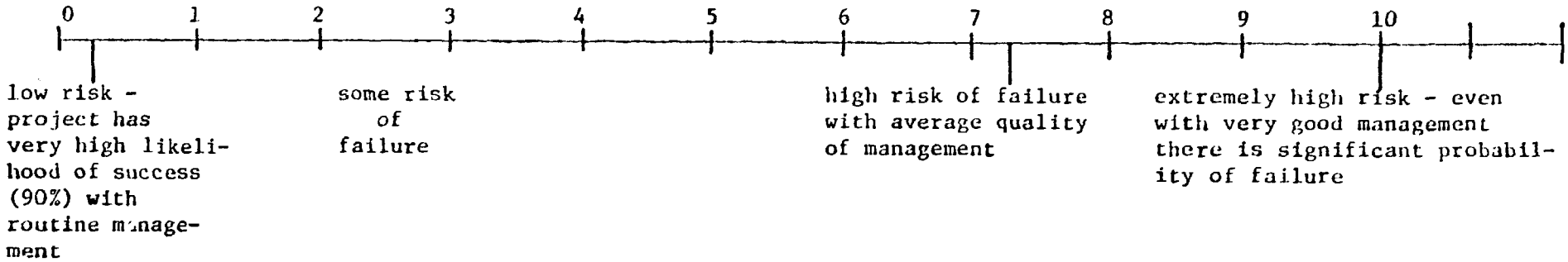
3.

(Note - both positive and negative unintended consequences could be checked and listed.)

5. When properly designed and managed, is this a project with a high potential payoff (benefits to population in relation to AID investment of money and staff resources) for other countries at a similar level of development? Place check mark at appropriate point on line.



6. Is this a high risk project? With average levels of skill in AID and host country management, does this type of project have a high or low potential for failure (i.e., inability to meet goals and objectives stated in the Project Paper within reasonable margin of error in budget and schedule)? Place check mark at appropriate point on line.



7. Do Mission staff believe that this project is one which should be considered for replication in other countries at a similar stage of development? YES NO

If project is successful in Mission view, list reasons why it is sui generis if not recommended for replication.

If project was evaluated as unsuccessful, list reasons why you believe it should be tried elsewhere. What are the critical factors causing problems with the project in your country which must be avoided in subsequent projects?

ATTACHMENT C

DRAFT
EVALUATION HANDBOOK MATERIALS

MISSION COMMENTS ON AN EVALUATION

After reviewing a final evaluation report, the responsible staffer in the Mission should prepare a one-page set of comments to be included with the evaluation summary. This information will be attached to the evaluation summary and stored in the Agency data base. (More extensive Mission comments may be added to the full evaluation report as an appendix.) The summary comments should include the following points.

1. Does the evaluation have sufficient data to support its primary conclusions? Indicate weak or unsubstantiated conclusions and the supporting data which is deficient.

2. Was better data available, but overlooked, which could have been used in the evaluation?

   Indicate improved data not used and the findings which it might have supported.

3. In the view of Mission personnel, did the evaluation team spend sufficient time in the field to fully understand the project, its impacts and success in meeting objectives, and the problems encountered in the management of the project?

4. Did any of the reviewers show particular biases which Mission staff believed affected the evaluation findings?

   Avoid ad hominem discussions but cite objective evidence including data overlooked, gaps in interviews, or statements suggesting a lack of objectivity.

5. Did the evaluation use (new?) methodological tools which would be applicable and useful in evaluating other projects known to Mission staff?

   Note particularly the development of proxy measures for impact or benefit, clever methods of constructing

baseline data, or techniques which were particularly effective in isolating the effects of the project from other concurrent developments.

6. Do the findings and Lessons Learned cited in the report concur with the conclusions about the project reached by the Mission and well-informed host country officials?

   Would the Mission place greater emphasis on findings given lower priority in the evaluation? Has the Mission reached different conclusions about certain aspects of the Project? If so, what are these conclusions?

APPENDIX C.7

Strengthening Host Country
Participation in Evaluation

HOST COUNTRY PARTICIPATION
INCREASING HOST COUNTRY PARTICIPATION IN AID PROJECT EVALUATIONS

INTRODUCTION

This note suggests how Project and Evaluation Officers may improve their implementation of a concept which is widely accepted in principle, but often difficult to execute in practice. These suggestions are synthesized from interviews with A.I.D. officers, project management literature (both A.I.D. and external), and Arthur D. Little's (contractor) experience.

For brevity, these suggestions are offered in a checklist. Also for brevity, they are presented in prescriptive style, without lengthy discussion, examples, or qualifications.

Evaluation, and the participation of host country nationals (HCNs), should, ideally, concern a project's managers throughout its life. Thus, these suggestions are grouped by the four phases of the project cycle.*

HCN participation is typically treated in "motherhood" generalities. Project managers need to attract and hold the interest of HCNs in contributing to evaluations. But the literature gives little or no attention to specific techniques and incentives -- bureaucratic, psychological, and monetary. Our suggestions try to remedy that deficiency.

PHASE I -- PLANNING, APPRAISAL, AND DESIGN

Quality of design is a major cause of success or failure in evaluations. Hence, groundwork laid, or overlooked, in a project's initial phase will influence evaluations products, both interim and final. Thus, most suggestions listed here for Phase I apply equally to later phases. The general purpose at the beginning is to attract the attention of key HCNs to good evaluation -- and especially its benefits for them!

1. Plans include HCNs? Do the Project Paper, Project Agreement, Logical Framework, and Project Implementation Plan include realistic and related plans for (a) regular monitoring and (b) periodic evaluations?

*Ralph Love, Project Planning and Management: An Integrated Approach (Pergamon & East-West Center, 1980).

(Monitoring and evaluation should be recognized as distinct but related management tools. HCN managers are likely to be more attracted by the near-term benefits of monitoring via management information systems, but may later be led to appreciate those of evaluation. Insofar as possible, data series, sources, and collection should be designed to serve both monitoring and evaluation needs, so as to minimize the cost and time burdens of collecting and analyzing information.)

Do the plans include significant, appropriate roles for HCNs?

Will they contribute at all levels of monitoring and evaluation?

2. Inventory of Resources? Has an inventory been taken of potential HCN evaluation resources (typically these include government planning units, universities, research institutes, trade associations, consultants, journalists, etc.)? The inventory should recognize any potential dispute between non-governmental resources and the sponsoring agency.

   Does it include qualified HCN staff members of international or foreign public agencies, private development agencies, or private firms who might be made available on loan?

3. Key Parties Agree? Do all key parties -- leading HCN government managers, other HCN evaluation resources, AID Mission and AID/W offices, and other donors -- understand the values of good evaluation and agree to the importance of contributions by HCNs?

   Have HCNs contributed, even if modestly, to the project's evaluation plan, especially to its products they will receive and use? In certain politically sensitive projects, A.I.D. may wish not to press for evaluation participation by HCN's in order to maintain a better climate for participation in future projects. (A.I.D.) may be required to evaluate some sacred cows on its own).

   At his early stage, the minimum strategy is to have top HCN managers agree genuinely to evaluation and the HCN role, so that later they can direct or influence subordinates to participate. Given the demands on HCN managers, it may be better to target a

smaller number of key projects for co-operative evaluation and not ask for major HCN commitments to evaluation of projects which are marginal or small in relation to the overall development program in a Ministry or agency.

4. Relevant? Are evaluation outputs derived from and related to the goals, plans, and interests of the HC and the project's HCN agencies (as well as those of A.I.D.)?

   Is the evaluation designed narrowly for this project alone? Or has it been related, where possible, to a broader program sponsored or advocated by the host government, and thus hold greater attraction for top HCN managers?

   Do HCN managers perceive evaluation as relevant and beneficial? It is important to identify officials whose cover may be helped by successful participation in an evaluation.

5. Simple Products? Do monitoring and evaluation plans ensure that reports will be presented to HCN managers in clear and simple form, and geared insofar as possible to their decision-making needs and styles? Methodology design (or subsequent presentation) may accommodate, in part, to the level of training and understanding.

6. Timely Products? Do these plans and schedules ensure that results will be fed to HCN managers in time to influence their decisions? Key reports should appear before, not after, the preparation of a multi-year plan or budget.

7. Training? If HCNs require training in project evaluation, is this included in project plans, either as part of management training or separately?

   (Such training need not necessarily be elaborate, or take place abroad. Indeed, the constraints of cost and simplicity suggest that it should be short, basic, practical, and local. But it should be explicit and specific.)

   A.I.D. appears to have adequate training materials in evaluation concepts and techniques. However, they may have to be (a) simplified to suit available HC

technologies and resources, (b) tailored to specific characteristics of the project and the HC, and (c) translated, if necessary.

8. Budget Adequate? Does the project budget include distinct and sufficient resources (from both donor and HC sources as appropriate) for evaluation?

   Are reasonable estimates included for such costs as training, translation, HC contractors and consultants, data collection and analysis, and incentive pay (if needed and appropriate) for HC government officials?

   Have knowledgeable HCNs been consulted about the adequacy of these estimates?

   (Good evaluation cannot be obtained on the cheap, even in poor countries. At least some participation is probably needed by HCN top managers; but it is precisely they who are most likely to be overworked and underpaid. Their active interest and contribution may not be assured without providing sufficient monetary incentives. This reality is recognized in some countries by USAID and other international A.I.D. agencies.)

PHASE II -- SELECTION, APPROVAL, AND ACTIVATION

Steps which were postponed, not completed, or overlooked during Phase I should be initiated as appropriate during other phases. Better late than never!

1. Resource Network? Is the network of potential evaluation resources, identified initially during Phase I's inventory, being maintained or expanded as appropriate?

   (The project officer should, within cost and time constraints, establish relations with a reasonable spectrum of HCN institutions and persons qualified or skilled in evaluation tasks. His or her ideal goal should be to have on tap a sufficient number and variety of resources. Project officers should recognize that the supply of indigenous capability will depend on the level of development. One purpose is to ensure choice and competition if RFPs are issued for coal participation. Another is to avoid or minimize possibilities of rival organizations evaluating each other.)

2. Starts? Are the A.I.D. Project Officer and HCN counterpart starting such tasks as routine monitoring, training, brief and timely reporting, etc.?

3. Top Management Support? Do both Mission and HCN directors support monitoring and evaluation vigorously enough to ensure adequate support and/or participation by their subordinates?

PHASE III -- OPERATION, CONTROL, AND HANDOVER

As before, steps suggested for Phase I should be continued in Phase III, such as training and developing th network of HCN resources.

1. HCNs Contributing Routinely? Are HCNs participating, as appropriate to their skills, in regular monitoring and periodic evaluation activities?

   (Routine participation not only contributes to monitoring outputs, but is probably the most effective form of on-the-job training for interim and end-of-project evaluations. It also avoids HCN resentment to being pulled in as accessories to visiting evaluation mission.

   Are various types of HCN resources being used -- not only in-house personnel of the HC executing agency, but also external consultants?

   Trying various resources on small monitoring tasks during the project enables project managers to judge their capabilities for major evaluation tasks at the end.

2. Focus on Decisions? Are outputs focused firmly on decision needs and styles of HC top managers? Again, HCN participation must be focused on the issues of greatest interest to the country's overall development program, not just the donor's concern. Are outputs being adjusted as HCN skills improve, project needs change, and the needs of HC top managers change?

   As noted in Phase I, the strategy is to attract and hold the interest of HCN managers, by serving their practical needs and demonstrating how good monitoring and evaluation can benefit them.

3. Writing Reports? Are HCNs participating in actual drafting and revising of findings and reports to HCN top management? Briefings by departing evaluation missions are usually not sufficient to provide genuine participation.

   This form of on-the-job training is difficult and time-consuming, for HCNs and A.I.D. officers alike. But it is one of the best ways to ensure that HCNs understand both general evaluation principles and specific project findings. Moreover, it should, ideally, provide professional and psychological incentives through pride in achievement.

PHASE IV -- EVALUATION AND REFINEMENT

1. Goals Clear and Relevant? Have evaluation goals, as distinct from project goals, been reviewed and refined in light of project history and needs of key HC institutions and managers?

   Have HC top managers participated in reviewing and approving these goals? Top HCN managers should see "their issues" reflected in the evaluation plan.

2. Sufficient Time? Have key HCN participants in the final evaluation, both in and out of government, been committed for enough time to make useful contributions?

   Have HC top managers approved the participation by subordinates, if necessary including leave of absence from routine duties?

   Have realistic monetary incentives been provided, if needed, to ensure full participation?

3. Contractual Obligations Clear? If HCN consultants or contractor institutions are required, do contracts define clearly their roles, products, lines of responsibility, etc.?

   If evaluation leadership is shared between A.I.D. and HC officials, have they agreed how to ensure coordination of team resources, so as to maximize the use of HCN participants?

APPENDIX D

INTERIM REPORT: END OF PHASE I

BASIS FOR A.I.D. Staff Ranking of
Potential Innovation

PRELIMINARY DRAFT

INTERIM REPORT

IMPROVING THE USE OF EVALUATIONS AND EXPERIENCE-BASED INFORMATION IN THE AGENCY FOR INTERNATIONAL DEVELOPMENT

Submitted by

Arthur D. Little, Inc.

October 1982

I. PURPOSE AND OBJECTIVE

The GAO has criticized the Agency for failure to take full advantage of the knowledge gained through past experience in planning and managing new efforts in international development. This same criticism is voiced by some Congressional staff members. Project and program evaluations completed by the Missions and PPC contain lessons for future projects which are not fully utilized by the Agency's management.

This problem has not been overlooked by those in the Agency who are responsible for evaluation research. Top management in the Agency has also recognized the problem. A recent directive reinstated the requirement for Mission Directors to prepare end of tour reports for the education of their successors and Agency management. The Agency's training program is being reviewed to identify ways in which the use of previous Agency experience can be improved.

In the Evaluation Office, a major attempt has been made to distill "lessons learned" from impact evaluations through a series of conferences and summary reports. The Office has commissioned a consultant study to identify means of rating the quality of evaluations so that readers who seek out these reports can determine the quality or reliability of the particular evaluation.

As part of this effort to improve the overall use of the corporate memory, Arthur D. Little, Inc. was commissioned to identify mechanisms which could be used to improve existing use of evaluations and other experience based information. In a one month period, we have interviewed over 40 officials associated with the Agency and have read a variety of evaluation reports and other material. We have examined the ways in which evaluation material is presented and disseminated, and the ways in which it is used (or not used) in Agency decision making. Our review did not extend to the quality of evaluations or how the evaluation process itself might be improved.

We present in the Interim Report our preliminary findings concerning problems in the use of evaluations. We have identified a large number of opportunities to improve the Agency's use of experience; however, only a fraction of these ideas were generated completely by the project team. Most were identified by interviewees, and some are already in place in parts of the Agency. We have assembled all these ideas in Section III of this report.

Not every idea for improving experience is amenable to experimental validation, particularly in the short period of time allowed by this engagement. Some initiatives, such as changes in the personnel evaluation and reward structure, would be made to meet a variety of agency objectives. However, a number of mechanisms to improve the packaging, distribution, or use of evaluation information can be tested by experiments within the Agency. In Section V, we detail ten

such experiments for your consideration. We look forward to reviewing these experiments with personnel in PPC/E and selecting the experiments to be accomplished under this contract.

II. USE OF EXPERIENCE BASED INFORMATION

Appendix A contains a schematic diagram showing the project planning and decision process in the agency and the points at which it can be effected by evaluations and experience based information. We found that there is extensive use of experience information, but this is most often accomplished through personal contact. Despite its documentation requirements, AID appears to have very much of an "oral" tradition in passing on information on past experience. This happens extensively within a Mission. The process is improved by reference to host country employees of long tenure, but is hampered by assignment policies or hardship posts which reduce the tenure of project officer and limit overlap in posts. This transmission of experience also occurs in the hierarchical review process; even when a reviewer does not have personal experience with a problem, he may refer to a respected colleague not necessarily in the review loop for his experience. A substantial amount of this information transfer also occurs outside of the review process through seminars, consultations and informal means. Even important written material such as evaluation reports are often distributed orally, with readers who are impressed by the document referring their colleagues to the work.

This personal or oral tradition for passing on experience based information has been re-enforced by organizations within AID which maintain a focus on a particular subject area. The population program was often cited as an example of an organization which effectively transferred information between countries and projects. The inclusion of experts from S&T in design teams, and the use of experienced contractors or university consultants further extend this process of oral information transfer.

Use of the Agency's "institutional memory" in DIU was variable and affected by the factors discussed below. However, the use of the critical documents contained in this system is wider than the number of DIU searches would indicate. In the development of the Sector Strategy papers, for instance, many of the authors have previously read the key evaluations and academic works in the area and have internalized these findings so that they may surface in the strategy papers without specific reference to a document.

Factors in the agency which generally encourage the use of experience based information may be summarized as follows:

1. Tradition of professional interaction between Agency personnel,

2. Development of a cadre of professionals in the Agency who focus on a single program across countries (i.e., population),

3. Use of S&T, university or consultant experts who serve as a repository of knowledge for those in the field,

4. Reference to project files (and end of tour reports, where available),

5. Use of foreign national employees as a kind of "corporate memory" within a mission,

6. Review of new PID and PP documents at the Bureau level, which allows application of the personal experience of the reviewers,

7. Division of some projects into phases, with required evaluation and response to evaluation findings prior to funding of subsequent phases,

8. Interactive conferences, including those on impact evaluations organized by PPC, and Mission director or specialist conferences organized by the Regional Bureaus and S&T,

9. Opportunities for newly assigned project officers--notably IDIs--to research their area of responsibility and contact those with prior experience in Washington prior to their initial assignment. This oral interchange with Washington staff also occurs during TDY for more senior officers.

While the use of experience based information in the Agency may be underestimated by the casual observer, there are a number of significant barriers to the improved use of evaluations and other experience based information. These barriers can be divided into three categories:

1. Problems with the "products" themselves, evaluations and other documents which may not effectively distill information on past experience in a way that is readily usable,

2. Problems with the system for identification and distribution of information on experience, notably DIS. It should be noted that problems with DIS have been escalated by recent budget cuts, as noted in the GAO report,

3. A lack of bureaucratic incentive within the Agency to set down in writing information on past experience or to use the documentation on experience which is available.

The press of responsibilities in the field is cited as a major reason why DIS and other sources of written material are not more widely used in project design and review. Large quantities of written material distributed by the Agency create a perceived condition of "information

overload" where important information on experience may be overlooked. Some respondents thought that this condition was exacerbated by the large volume of material provided in DIU searches and the failure to adequately distill "lessons learned" from evaluations and past experience into a more concise and usable form. Wider use of evaluation reports is evaluated by a problem already identified by PPC. The variability in the quality of evaluations and the inability of the unfamiliar reader to determine the quality of a particular evaluation or the generalizability of the results.

The Agency does not reward its employees, in general, for setting down their findings about experience in writing in professional journals or other widely distributed documents. This may be contrasted with a stronger tradition in support of such publications in the State Department. In addition, the use of AID experience in AID-training courses is limited because many staff members are reluctant to identify or write up their experience with a particular "success" or "failure." Cases based on other development experience are often thought to have more pedagogical value.

AID personnel assignment policies also inhibit the oral transfer of information on past experience. This is a particular problem in hardship posts where tenure is short and there may be no overlap between project officers. This problem is further compounded by a lack of end-of-tour reports, a requirement which has only recently been reinstated at the Mission Director (but not at the project officer) level. The growing use of contractors for project design also means that an increasing proportion of projects are being designed by them with very limited access to the oral tradition and interpersonal network which has been used to communicate experience within the Agency in the past. Recent delegation of authority to approve project (PP) designs for smaller projects at the Mission level has reduced bureaucratic delays but it also means that the broad, personal experience of the headquarters review team is no longer brought to bear on the project at its initial stages.

The use of experience in broader scale resource allocation decisions within the Agency appears to be very limited. Negative evaluation reports may kill a project or series of projects, but they have limited effect in determing where to increase Agency financial allocations. This is in part because the Agency's program is substantially constrained by legislative mandates, political priorities, and financial factors which bear only a limited relationship to the Agency's examination of its own experience. Furthermore, the allocation of funds to a particular nation is more generally a function of its strategic importance to the United States, rather than an examination of the nation's ability to absorb and manage projects. Generic findings about different development programs have only limited applicability in these cases; in more than one interview, we identified programs proceeding contrary to the general AID understanding of past experience because of political

considerations and the need to delegate funds to a strategically important nation.

III. OPPORTUNITIES FOR IMPROVING THE USE OF EXPERIENCE BASED INFORMATION

In our interviews we identified a large number of opportunities to improve the use of evaluations and experience based information. A few of these originated with the project team, but most were identified by one or more agency employees whom we interviewed. These ideas are presented in the following table. The tables are broken down into three categories:

A. Improvements in evaluation products and other documents based on experience

B. Improvements in the system for distributing findings on past experience (including possible changes in the DIS)

C. Changes in the bureaucratic structure or personnel incentives which would improve the use of findings on past experience.

Each table contains the following information:

1. the specific idea

2. the source of the idea, where it can be identified

3. the status of the idea; some ideas are partially or fully implemented, or have been used by the Agency at some time in the past

4. the purpose of the innovation; this explains what effect the proposed change is intended to have

5. possible experiment. In this column, we identify ideas which are potentially amenable to experiment in the short term. These experiments are discussed at greater length in the next section.

SECTION III

OPPORTUNITIES FOR IMPROVING THE USE OF EXPERIENCE BASED INFORMATION

#	INNOVATION	SOURCE	STATUS: Exp. In Progress	STATUS: Exp. Proposed	STATUS: Exp. Not Feasible	COMMENTS	PURPOSE
A.	Improving Evaluation Information						
	Evaluation Process Improvements						
1	Improve training of evaluation officers	Molly Hageboeck Maureen Norton		x		Training of evaluation officers currently varies by Bureau	Increase quality of evaluations and likelihood that results will be used by others
2	Integrate management and evaluation priorities	various				Perception is that some early impact evaluations were performed by more experienced staff, with more time and thus better results	Reduce variability in evaluation quality and increase willingness to rely on results; reduce volume in hopes that fewer reports are more likely to be read
	a) perform fewer evaluations in greater depth			x			
	b) apply greater flexibility in evaluation timing				x	b) Evaluation guidelines give flexibility in scheduling, but examination of evaluations suggests that premature schedule explains some conflicts	
3	Revise evaluation design and scope - get users more in evaluation design	Molly Hageboeck John Hummons, others,	x			Asia Bureau selects critical evaluations for extra effort and focus - some evaluation scopes may be too broad, not reflect agency priorities	Reduce "noise" in evaluations and increase utility to decision makers.
	a) Increase host country involvement in evaluations	Bill Goldman	x			Depends on the Mission and Projects Officer	Can be important learning experience for host country; may lead to improved data collection and internal evaluation capability
4	Use audit process to follow up on response to evaluations	Herb Beckington	x			Current procedure provides for subsequent audits to check up on response to evaluation findings	Force mission response to identified problem

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#	INNOVATION	SOURCE	Exp. in Progress	Exp. Proposed	Exp. not Feasible	COMMENTS	PURPOSE
	Improve Evaluation Document						
5	Improve evaluation summaries a) for individual evaluations (2 pp.) b) Synthesis of multiple impact evaluations (5 pp.)	various		x x		Many evaluation summaries do not have clear "lessons learned" which can be applied to project design	Improve use of evaluation/ experience information by reducing volume, making it more accessible; put in overall development context (sensitive to levels of development)
6	Issue Administrator's Guidance incorporating findings in evaluation summaries - a PD cabled to field	Ain Kimivae Lenny Elliot Herb Beckington		x		Guidance cables in the past perceived to have greater effect	Force reading of lessons learned, evaluation conclusions. Increase likelihood they will be used in project design
7	Develop better evaluation abstracts - have them written in field by participants	Contractor team, Molly Hageboeck		x		Abstracts prepared by participants are more likely to highlight key findings; current abstracts are bland	Increase the ability of DIS users to identify documents of greatest potential use to them
8	Have participants (project manager) develop distribution list for evaluation reports	contractor team		x		Asia Bureau currently routes evaluations of interest	Capitalize on interpersonal network in Agency. Participants may know others interested in results who are not in regular distribution channel
	Provide Rating System for Evaluations						
9	Develop index for quality of evaluation and reliability of findings	Frank Kimball numerous others	x			PPC/E currently developing system under contract	Enable the unfamiliar reader to identify highest quality, most applicable evaluation findings
10	Include Mission comments on evaluation in report; including Mission view of replicability	various		x		Several agency staff concerned that these comments are not included as they are with audit reports	Agency staff reluctant to use evaluation findings because they do not know what Mission staff thought of the project or the evaluation. Could increase reliance on some reports

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Section III (continued)

#	INNOVATION	SOURCE	STATUS: Exp. in Progress	STATUS: Exp. Proposed	STATUS: Exp. not Feasible	COMMENTS	PURPOSE
	Develop Other Experience Documents						
11	End of tour reports		x	x		Requirement has recently been reinstated for Mission Directors; could be extended to project and program managers	Improve data base and provide more continuity of experience
12	Develop more case studies, particularly of successful projects thought to be generalizable	Tom Niblock, contractor team		x		Some case studies prepared for training programs from Agency experience, but relatively few. Project officers reluctant to identify and write up case studies	Improved information transfer from those involved with successful cases
13	Get experience results into literature by assisting Agency staff to write articles for general publication [provide ghost writers]	Kurt Farrar, Walt Rockwood	x	x		New initiative in S&T - extend to other fields	Overcome reluctance to write; obtain more visibility for agency accomplishments
14	Develop long-term evaluations of impact of AID programs (10 yrs + program). Determine what programs are successful at different stages of development	Tom Niblock		x		Most impact evaluations done relatively soon after project completion	Hard to judge long term utility of project in the development process if evaluated too soon. May be difficult to identify impact, but could provide insights into best projects for different stages of development
B.	Distribution of Information (Access/Retrieval)						
DIU							
15	Move DIS back into PPC	various			x	DIS started by PPC but transferred to S&T	Maintenance/upgrading of this "corporate memory" a lower priority for S&T as shown by proportionate budget cuts
16	Develop process for tracking and verifying receipt of documents which should be in DIS	Lida Allen, Molly Hageboeck		x		DIU has no time to follow up or look for reports, depends on receipts	Assure complete coverage of information by DIU - responds to problems identified by GAO audit

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#	INNOVATION	SOURCE	STATUS: Exp. in Progress	STATUS: Exp. Proposed	STATUS: Exp. not Feasible	COMMENTS	PURPOSE
17	Improve document abstracts in DIS	various		x		Current abstracts not prepared by those familiar with development or project design	Increase likelihood that abstracts will indicate utility of documents abstracted, increase DIS use and decrease user search time
18	Develop structured DIS request form	Contractor team		x		Partial substitute for analysis unit or greater interaction with reference librarian	Reduce volume of material from DIS search and increase likely relevance
19	Improve search priorities in DIS a) order of priorities b) alternative displays	Contractor team		x		Software capability can be built into present system	Partial substitute for DIS analysis unit; limit the amount of material provided in response to DIS requests to an amount that is more likely to be read
20	More direct access capability for DIS						
	a) links to terminals in Bureaus/Missions			x		Data link from DIS to missions	
	b) Selected files provided to Missions for automated search on-site			x		Micro-computers which could be used for this purpose already exist in some missions	Increase use of DIS by Missions through better targeted search
21	Reinstate DIU Analysis Unit	various		x		Was abolished after running for 2 1/2 years	Improve the user orientation of DIU, provide summaries and extracts based on knowledge of development
22	Improved user guidance and training	Contractor team		x		Interviews show that knowledge of DIS is based on IDI training or original announcement	Many agency employees do not know how to use DIU and have never been exposed to any "outreach" ; increase understanding of DIS in agency
23	Implement system for automatic searches for selected categories of projects a) pre-PID b) PP preparation c) CDSS d) Evaluation design	Various, Larry Smucker - Asia	(Asia)	x		Originally anticipated as part of DIS plan. Abandoned as a result of workload and lack of use of materials	Get experience/evaluation information into design process as soon as possible

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#	INNOVATION	SOURCE	Exp. in Progress	Exp. Proposed	Exp. not Feasible	COMMENTS	PURPOSE
24	Develop periodic user reports which show who who is not using DIU	Molly Hageboeck		x		Information is kept on request, could be aggregated periodically and analyzed	Determine who is, or is not using, DIS; follow-up with non-user organizations to determine reason for lack of use
	Improve Conditions for Use of DIU						
25	Require DIU search/literature review prior to approval of PID or PP a) Issue requirements b) Change submission forms	Tom Niblock, others		x		Recent CDSS guidance required reference to information on past experience	Force project designers to do a literature search; danger that this could be a pro-forma requirement
26	Require contractors to perform DIU search prior to project design assignments	"Skaff" Brown LA Bureau, Tom Niblock	x			Now a requirement for LA Bureau contractors, extent of implementation not clear	Force contract personnel to learn from AID experience
	Improving Use of Other (Non DIU) Sources of Information						
27	Provide listing of personnel responsible for similar projects and project designs	Contractor team		x		Difficult to do through personnel system, might be done through DIS	Increase in inter-personal exchange of experience information
28	Develop newsletter or snappy articles in AID journals about evaluation or experience findings	Bernice Goldstein, Steve Freundlich, Herb Beckington, Ed Lejawski	x			Was done by LA, viewed as success but cancelled; analagous to efforts in S&T; IG is now initiating a newsletter; some articles in Front Lines	Provide short, frequent, attractively written reminders of available evaluation information
29	Add on line access to other relevant data bases	Molly Hageboeck		x		Word processor capability at the HQ makes on line access possible	Same as DIU direct link, improve relevance of search and reduce time to access
30	Make and distribute videotapes of experience information a) Q&A between senior AID staff & new staff members b) Films of impact evaluation conferences c) Discussions with noted AID experts and leaders d) Case studies	Division of Training		x		Videotape capability and playback capacity in Missions make this possible today	Increase exposure to interactive forums for discussion of experience b) Impact evaluation conferences rated as useful by those who attended Would be easy way to distribute good case studies widely in the Agency, rather than relying on small throughput of training courses

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#	INNOVATION	SOURCE	STATUS: Exp In Progress	STATUS: Exp Proposed	STATUS: Exp. not Feasible	COMMENTS	PURPOSE
31	Increased use of Universities and other organizations or centers of excellence	Gary Adams Tom Arndt others	x			Several precedents - ag credit, water management, etc.	Provide travelling experts to coalesce field experience and transmit academic and outside knowledge
32	Presentation of evaluation findings at Mission Director Conferences and Regional Workshops	Molly Hageboeck	x			Some has been done in Bureaus, but volume could be increased; must watch "agenda crowding"	Good interactive forum for comparison of experience
33	Distribute annual lists of evaluations	Maureen Norton, others	x			Already done by Asia; cumulative list included in PPC/E Program Impact Evaluation publications	Increase likely exposure/ knowledge of Mission staff about evaluations of potential interest
C.	Structural Changes to Encourage Information Use						
34	Provide research assistants to summarize information on experience for AID staff: a) In project preparation b) In project review	Contractor team, similar program identified in Africa bureau by Lane Holdcraft	 x	 x 		A user oriented variation of original DIS analytic unit approach, see Africa Bureau experience	Provide concise summary of precedents for project officers or review committees who do not have time to read applicable literature
35	Split projects into phases; require evaluation and response to evaluation prior to funding subsequent phases	Ray Love, Africa Bureau	x			Now being followed by Africa Bureau	Forces missions to respond to evaluation findings to get additional funds
36	Provide career rewards/ awards for publication of articles on experience	Project team, Lenny Elliott		x		S&T moving to encourage more university interaction, but no perceived career points for publishing experience	Increase documentation of lessons learned by Agency personnel
37	Focus budget, staffing and organization around priority programs	Gerrit Argento	x S&T		x (for other areas)	Population Bureau cited as best example; new Sector Councils in S&T have same objective	Increase information transfer between those working on similar projects
38	Make substantive training in development and Agency experience more clearly a part of the career path	Frank Kimball, others			x	Training program currently under review	Training in these areas not now seen as a priority in career path

#	INNOVATION	SOURCE	STATUS: Exp. In Progress	STATUS: Exp. Proposed	STATUS: Exp. not Feasible	COMMENTS	PRUPOSE
39	Increase time in post and overlap of personnel when posts change	several			x	Problems in Africa Bureau attributed in part to short tenure in hardship posts	Increase use of individual's own experience in country and reduce learning curve for successor
40	Assign more FSO's in Evaluation (particularly studies Division)	Contractor team			x	Some FSO's assigned to PPC/E, but still somewhat of a "two cultures" problem	Reduce barriers to the acceptance of evaluation information, improve tailoring of products to Mission needs
41	Create PPC/E link to Sector Councils	Molly Hageboeck		x		Sector Councils in place, would be easy to add PPC/E liaison	PPC/E liaison would channel evaluation findings into Sector Councils
42	Improve link between evaluation and budget decision	Molly Hageboeck contractor team		x		General perception that negative evaluation findings are used in cutting projects or budgets, but no explicit link	Current use of evaluation findings in budget decision is limited, this would channel evaluation findings directly into resource allocation decisions
43	Have host government sign PID & PP	Molly Hageboeck Contractor team		x		Agreements now signed after the project is approved	Assure that host country is more involved in project design process and exposed to U.S. design experience; U.S. design team more thoroughly exposed to host country experience

IV. EXPERIMENTS

Not every opportunity for improvement in the use of experience can be packaged into an experiment. Some improvements are already underway, as shown in the previous section. Others would require major changes in the bureaucracy and would have multiple purposes. Still others (such as changes in training programs) would require a long period of time to implement and evaluate. We identify experiments which could be accomplished in the near term.

One possible constraint on a number of the experiments is the current state of DIU. Total staff in the division has been cut from 49 to 19 in two years. There are only 3.5 FTE librarians to maintain the collections and respond to requests. As a result, it may be difficult for DIU to handle a substantial increase in the volume of literature search requests generated by a successful experiment.

1. Experiment

Undertake to prepare a two to three page condensation of lessons learned from AID's experience with project in one or more areas of AID's emphasis (e.g., irrigation, agricultural research, electrification). Place these lessons in a sound conceptual framework for development.

Rationale

The Agency has completed a large number of individual project evaluations and has identified lessons learned on a project specific basis. Several Regional Bureaus of AID are circulating extracts of these project evaluations and lists of lessons learned to their field missions. This is a desirable process which could be strengthened by a more systematic and uniform procedure to apply Agency wide. For several groups of projects (roads, agricultural research, institution building), AID has conducted conferences to review findings of project evaluation reports and produced summary documents. These documents are valuable for reference purposes. Our interviews found, however, that the summary documents were not widely read. They are lengthy reports containing rather comprehensive treatment of both negative and positive findings. They seldom synthesize findings into what are believed to be widely applicable lessons learned or composite pictures of experience gained from work in a particular sector or sub-sector.

Some officers interviewed felt it would not be helpful to produce a synthesis of experience gained by sectors in the belief the lessons learned would be at a level of aggregation too general to have any value. The authors of the summary document on experience in agricultural research concluded they had been unable to determine "... which factors are more critical to project success than others."[1]

On the other hand, the majority of persons interviewed felt that efforts should be made to arrive at broadly applicable ways of thinking about categories of projects and factors which contribute to success or lack of success based on years of experience with similar type projects. For these reasons, the consultants concluded an experiment would be justified to see if broadly applicable lessons could be drawn from experience with similar type projects in different countries and regions.

Procedures

The experiment would be carried out by Mr. Niblock within the present Arthur D. Little, Inc. contract. Documents reviewed would include field mission evaluations (PES's); AID/W impact evaluations; any special reviews by geographic or technical Bureaus; and internal and

[1] AID Program Evaluation Discussion Paper No. 13, May, 1982.

external audit reports. Interviews would supplement the written record. The experiment would include a test of the usefulness to the exercise of AID's Development Information Service. We will attempt to involve a PPC/E staff member to see if such documents can be developed by staff with lesser seniority.

Time and Cost of Experiment

Time required for the experiment would be influenced by the choice of activity to be reviewed and condensed, and the number of documents consulted and interviews held. One or more condensations of lessons learned should be produced within a six to eight week period. The cost of the experiment would be essentially limited to the daily billing rate of one consultant.

Cost of Agency-Wide Adoption of the Experiment

It should be possible for the Agency to repeat the condensation of lessons learned in other areas of program concentration at approximately the same cost and time required for the experiment itself, i.e., three to four months of time by a person of comparable background and experience to the consultant employed for the experiment. Since the experiment entails the collating, synthesizing and condensing of information already acquired, and is primarily an analytical and judgmental undertaking, replication of the experiment does not entail procedural changes in the Agency's way of doing business.

Measure of Effectiveness (Evaluation) of the Experiment

The effectiveness of the experiment can be determined by the degree to which AID management and the Agency at large accepts the condensations of lessons learned as a valid expression of experience which has wide application to future projects of similar type. Specific measure of effectiveness could be: (1) the extent of bureaucratic endorsement given to the summary of lessons learned, and (2) the circulation throughout the Agency of the lessons learned, perhaps by cable from the Administrator. Follow up interviews with recipients to determine if they read the release and what effect it had on their knowledge would be useful.

2. Experiment

Produce a case study of successful project administration suitable for use in AID's staff training programs. The case study would be based on an actual project assisted by AID.

Rationale

A recent evaluation report on AID's Development Studies Program for mid-career officers concluded that training programs could be strengthened if the course gave greater emphasis to models of project implementation and to AID's own cumulative experience in implementing development programs.[1] The preparation and use in training courses of such models from Agency experience would seem to be one effective way to apply experience to improve performance. Case studies are used in AID mid-career training courses although they are seldom models selected from AID's own experience. AID's evaluation reports and other project documents provide a rich and extensive source of material to draw upon for preparation of case studies for training courses. Well prepared case studies from AID's experience would no doubt be valuable to development institutions and organizations outside AID. The Peace Corps, universities offering courses on development in the Third World and others such as contractors would benefit from such case studies. These studies might prove to be especially useful to AID contractors, many of whom are not familiar with AID experience and the problems which may be encountered in carrying out development programs. (AID traditional close monitoring of contractors with direct hire field staff is necessarily lessened by the reduction in size of overseas missions. It is important for AID to find some means to strengthen the awareness by contract staff of AID's own past experience.)

If an experiment to prepare a case study for training purposes from AID's own experience proves the utility of such studies, then AID may want to extend the process to cover a fuller range of its program activities.

Procedures

Given the limited direct hire training staff, the experiment would probably need to be carried out by a contractor. The contractor should work closely with the AID training staff to insure the case study would fit planned training needs. The case study would be developed primarily from a review of the basic project documents (ABS, PID, PP, PES's and audit reports) and from a review of project working files maintained in AID/W and the field mission. The latter could be obtained by mail if the case study budget does not allow a field trip.

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[1] "Evaluation Report of the Development Studies Program," by Donald Warwick and Gordon Ramsey; July, 1982, AID, page 36.

The document review would be supplemented by interviews and correspondence with the project manager or managers and others most familiar with the project. In no sense, however, should preparation of the case study be allowed to become an appraisal or evaluation of the project itself.

The case study should be presented as a complete training aids package containing a description of the project and a critique of the various planning and implementation steps followed. Materials should be prepared for use of the case study in a workshop setting.

Time and Cost of Experiment

Time required for preparation of the case study would depend upon the amount of training time to be devoted to the case study and the complexity of the project studies. A case study to absorb a day or less of training course time could likely be produced in three to four weeks by the full time effort of an analyst already familiar with AID project planning and implementation practices. Costs could be in the range of $6,000 to $8,000, depending upon AID review and approval time. A case study to familiarize students with the full range of AID documentation and implementation actions and to stress transfer of experience in some key sector could take considerably longer to prepare. Such a study could also provide a framework for a training course extending over several weeks.

Cost of Agency-Wide Adoption of the Experiment

A decision by AID to utilize more case studies from its own experience in its training programs would require that several case studies be prepared to fit the different levels and durations of its training courses, and that the case studies be changed from time to time. As AID reconstructs its training programs (a process underway in the fall of 1982), the requirement for case studies can be identified. Perhaps five or six case studies could be needed for courses over the next year. The cost of such studies would run $40,000 to $50,000.

Measure of Effectiveness (Evaluation) of the Experiment

The test of effectiveness of the case study or studies would be its utility in meeting objectives of the training programs in which the case study is used. Student and instructor appraisals of the case studies should be built into the training programs. Ultimately, effectiveness would be measured by assessing the management performance of the trainee, but this will require a long term evaluation.

3. Experiment

Develop an Administrator's Guidance Cable summarizing lessons learned from a series of evaluations and transmit to the missions.

Rationale

Some of those interviewed felt that a "lessons learned" type document will not have an adequate effect on mission planning and management unless it has the Administrator's imprimatur. This will force field staff to pay attention to these lessons in project design.

Experimental Procedure

It will first be necessary to develop a concise "lessons learned" type document from evaluation materials available in a field of interest to the Administrator (see Experiment #1). This would then be routed through the normal process for approval by Assistant Administrators. This review itself will test whether agreement can be reached at the highest level of the agency on lessons learned.

After approval, the document would be sent to the missions as an Administrator's cable.

Time and Cost of Experiment

Once the document is prepared under experiment #1, a minimum amount of time--perhaps three to four days--would be necessary to work with the Administrator's office, respond to successive review comments, and condense the document into cable form. Review time will also be required from the AA's and their staff, although this will have no out-of-pocket cost. Evaluation could require a further two to three person weeks for document review and interviews.

Cost of Agency-Wide Adoption of the Experiment

This will depend on the number of such cables each year. If the Agency develops both the brief "lessons learned" document and the Administrator's Guidance, the tasks might take three man months per topic, or approximately $15-20,000, plus the cost of Agency review.

Measure of Effectiveness

The ultimate measure of effectiveness is whether or not the "lessons learned" transmitted in the cable are appropriately applied in project design and management in the field. During the course of the experiment, this can be tested by:

- examining the text of incoming PP's and PID's in the subject area for reference to topics in the Guidance cable

- interviews with project designers and project officers to determine how they responded to the cable.

4. Experiment

Provide to project designers and reviewers (in selected mission or bureaus) a listing of AID personnel responsible for design, management, and evaluation of projects with similar characteristics, and their current post.

Rationale

It is clear from our interviews that AID relies heavily on an oral tradition to pass on information about previous Agency experience. We suspect that even when time is too limited to read the literature identified in a search, project designers and reviewers will seek out others in the agency with similar experience, particularly if they are highly regarded by their peers. Because of post transfers and shifts between Bureaus, the appropriate project officer with past experience may not be in the approval loop for new designs.

Procedures

Preliminary questioning indicates that Personnel does not have a comprehensive, computerized file of past assignments. However, the project documents contained in DIU should permit us to identify those responsible for project design and evaluation documents since 1974. A DIU search would be requested, and the list of names developed by reviewing the authorship of project documents. This can be done by an Arthur D. Little, Inc. staffer, a PPC staff member, or an IDI for the Bureau participating in the experiment. This listing would then be cross-referenced against personnel files to determine current assignments, and a revised listing prepared with phone numbers or cable addresses. This listing would be provided to project reviewers and designers.

Time and Cost of Experiment

For each new project, the experiment will require a DIU search, plus an estimated two man days to review the documents and develop the list of current assignments. It will also require assistance from Personnel or access to an alphabetized listing of personnel showing current assignments.

Cost of Agency-Wide Adoption of the Experiment

With a computerized personnel assignment history system, the project would have a very small incremental cost, even if implemented Agency wide. When a routine is developed, the listing could probably be developed by DIU for significant project designs and reviews with one well trained clerical staff member, making the cost about $25,000 per year.

Measure of Effectiveness

The measure of effectiveness is the extent to which individuals with relevant experience are consulted who would otherwise be left out of the design or review process. In the experiment, we would measure this by interviewing project designers and reviewers to determine:

- the number of additional contacts which they thought were made because of the list
- the number of contacts in other regional Bureaus,
- the number of contacts outside the usual design or review team.

5. Experiment

Provide research assistance to extract the most relevant points from a DIU search and summarize this material in a concise memorandum to a project review team.

Rationale

Project reviewers at the Bureau (Regional, S&T) level report a mixed experience with DIU, but most say that they do not use it because they do not have the time to read all the material provided. In general, project reviews are based on the collective individual experience of the review group, with limited 'library' research on critical precedents.

In many other professions, junior staff are used to summarize information on precedents for consideration of their superiors. In law firms, for example, law students or junior attorneys are used to sift through the large number of cases which may be identified in a precedent search. The brief memo summarizing their findings is then used in the legal decision or preparation of legal documents. A similar service might expand the capability of Regional Bureau review teams to use information in the DIU system.

Procedure

It will first be necessary to identify a Bureau willing to cooperate. An IDI or Arthur D. Little, Inc. staff member would then be assigned to the Bureau for a month to prepare these "precedent summaries" for all PID's and PP's coming to the Bureau for review. If a particularly large number of projects were encountered, the literature review might be done on selected cases.

The best experimental design would be to have the working review group develop a response without the "precedent summary," and then ask them to read the summary and see if other issues are identified or the recommended decision is changed. In practice, it may be necessary to provide this new information at the time of the first project review to avoid delay and reduce staff time on the project.

Time and Cost of Experiment

An IDI or junior consultant is needed for the month. Typing support will also be required if the reviews are done within AID. A good summary document would probably take two to four days to prepare, depending on the amount of material in DIU. Thus, five to ten such summaries could be prepared in the experimental month.

Cost of Agency-Wide Adoption

The above figures suggest that one assigned individual could handle 50 to 100 searches per year. At the Bureau level, this would probably require one to two additional staff plus secretarial support, provided they have no other duties. This might be an appropriate role for the Evaluation Office(r) in each Bureau. This would make the agency-wide cost (at $50,000 per person, including support and benefits) $250,000 to $500,000. Note that this initiative is very similar to the analysis unit originally developed within DIU, although it might be more responsive to Bureau priorities.

Measure of Effectiveness

The first evaluation question is: Are the summaries read where DIU literature searches would otherwise be ignored? The second question is: Did the project review results change as a result of the summaries? It will be easier to determine this if the research summary is provided after a preliminary draft of issues a cable, but it will probably be necessary to base the conclusion on statements of the participant about ways in which the new material did (or did not) affect their approach to project review.

6. Experiment

Develop a brief, cleverly written newsletter containing highlights of recent evaluations. This document should probably include a cumulative listing of available evaluation reports, perhaps as an appendix to the final issue each year.

Rationale

A commonly heard complaint was that Mission and Bureau personnel did not have time to read the large volume of potentially interesting reports which they received. On the other hand, many interviewers commented favorably on the newsletter-type research and evaluation bulletin distributed for a time by the Latin American Bureau, and the newsletter on appropriate technologies circulated by S&T (which sometimes contains evaluation highlights). A short periodic newsletter highlighting evaluation results and "lessons learned" may be read by far more people than the full report and will increase knowledge in the field of available materials.

Experimental Procedure

Draft the first of these newsletters using contractor or PPC staff. Limit to a maximum of four pages, and preferably two. Concentrate on concise, high quality writing and headlines which snag reader interest. Distribute to Bureau and Missions and follow up with a survey of reader response.

We suggest here the single issue because of anticipated problems in obtaining approval for new AID publications. However, it would be preferable to do two or three issues before performing the reader survey.

Time and Cost of Experiment

The first issue could be prepared within the scope of this contract. Actual preparation time would depend on the author's familiarity with recent evaluation projects. If it is not necessary to read the recent reports, our experience with a similar marketing newsletter suggests that it can be prepared in two to four days of staff time, plus secretarial support. Additional time must be added if the author must review recent documents. Printing and distribution costs have not been estimated.

Cost of Agency-Wide Adoption

Assuming quarterly distribution of the newsletter, incremental staffing should not be required at PPC. The 8 to 16 days per year for preparation of the newsletter can usually be programmed into the staff member's time at slack periods. However, it is vital that the assigned staff member be a clever writer; if not, it may be necessary

to request assistance in preparing the document, which might require up to two person months per year. Printing and distribution costs will depend on size, layout, and the volume of circulation.

Measure of Effectiveness

The project will be a success if it increases awareness in the field of the availability of key evaluations and lessons learned. The appropriate evaluation would be to survey a sample of the circulation list and determine:

- if they read the newsletter
- their reaction
- the extent to which they have retained certain key pieces of information in the newsletter.

For maximum validity, it might be useful to survey staff awareness of other significant evaluation findings not incorporated in the newsletter. Another test of newsletter effectiveness would be to measure the change in the number of DIU requests from the Missions or the increase (if any) in requests for documents cited in the newsletter.

7. Experiment

Require all AID contractors participating in a project design to conduct a DIS search prior to field work on the project. This appears to be a requirement in the Latin American Bureau today, but it is not clear how widely it is adhered to. The experiment could be implemented selectively on a Bureau, country, or topic basis.

Rationale

The use of AID experience may be further degraded by increasing reliance upon contractors for project design. Many contractor staff have limited in-country experience and have not worked within the Agency. As outsiders, they do not receive the oral transfer of experience information which is a part of the AID culture. Only limited time is available to learn the country or the problems of project design and management beyond their own area of expertise.

Requiring contractors to search the AID experience through DIU should cut the learning curve and improve the transfer of information on other projects. However, an excessive amount of material may be as off-putting for the contractor as it is for AID staff. This will highlight the need for an interactive search or improved literature sort priorities (see Experiment #9

Experimental Procedure

Task orders under existing IQC's or forthcoming contract awards would be modified to require a contractor to perform a DIU search as an initial step in his scope of work. This can be implemented selectively or across the board. A useful contrast for evaluation purposes would be to implement the requirement for selected task orders from one contractor, and then compare resulting project design documents with and without the DIU search requirement. It would take a substantial number of projects before this comparison could have any validity.

Time and Cost of Experiment

Given the lead time in procurements, a minimum of six months would be required for the experiment, and a year would provide a better information base for evaluation. Direct costs of the experiment - negotiations with responsible bureaus and amendment of contract language would be minimal--a few person days. Evaluation would require reviews of project design documents and interviews with contractors--probably one person day per experimental or control assignment. The largest costs of the experiment are hidden and would be:

- additional burden on reference librarians at DIU - probably at least one-half-person day per assignment

- incremental costs of contracts, assuming the contractor would not otherwise do a significant literature search. This could run 2 to 5 person-days per assignment, perhaps $800-$2,000.

Cost of Agency Wide Adoption of the Experiment

If adopted across the Agency, the requirement would clearly force expansion of the reference library staff at DIU and would have a cost in contractor time. One additional DIU reference librarian would probably cost $25,000 - $30,000 with support and fringe benefits. If we assume approximately 200 project design contracts per year with an incremental cost of $1,500 to absorb materials identified in the DIU search, the total incremental cost to the agency would be $300,000 - $350,000 per year.

Measure of Effectiveness

The ultimate measure of effectiveness is the extent to which project designs are improved, and the chances of project success increased, by this reference to the "corporate memory." In the short-term, the evaluation should be based on:

- comparison of the text of project design materials developed by contractors with and without a DIU search; this can be done on a longitudinal basis, before and after the requirement is implemented, or on a cross-section basis if the contract is implemented selectively. THe evaluation should probably be limited to selected subject areas and contractors to limit the confounding effects of contractor[1] performance and variability in the quality of DIU materials.

- interview with contractor personnel to ascertain the perceived worth of the DIU material, and to see if they actually absorbed "lessons learned" which AID staff believe are contained in the material; the interview on perceptions of the DIU material would contain (hopefully disguised) a brief substantive quiz.

[1]We recognize that performance can vary with a contractor organization as well.

8. Experiment

Require in documentation of PID or PP submissions either a bibliography or a certification that a DIU search has been performed. This requirement could be introduced selectively at first for selected Bureaus or subject areas.

Rational

While we hesitate to suggest a formalistic approach, we have noted that a number of field staff are unaware of how they can use DIU or are reluctant to request a literature search. This requirement would probably trigger the search, although it does not guarantee that the information will be used.

Time and Cost of the Experiment

Direct costs of the experiment are limited, and are probably confined to negotiations with the responsible AID personnel, and preparation of the necessary modification to Project Design instructions and forms.

The larger costs will be incurred in DIU and at the Mission level. As noted elsewhere, DIU has limited capacity to absorb the additional requests which should be generated if this requirement is successful. It may be appropriate to phase in the requirement based on the expected number of incremental requests and the number of reference librarians available. For evaluation purposes, it may be appropriate to institute the requirement first in the regional Bureau where DIU use has been most limited.

Additional time required by mission staff in reviewing the DIU search, obtaining and reviewing relevant documents, and preparing the bibliography is hard to estimate. It might run to an additional 2-5 person days per project.

Cost of Agency Wide Adoption

It will probably be necessary to add one to two reference librarians if the requirement effectively forced a DIU search for all projects; estimated cost $25,000 - $60,000. There would probably be no incremental costs associated with required literature review in the field, just additional time in project paper preparation.

Measure of Effectiveness

The ultimate measure of effectiveness is whether or note the projects are more successful because this bureaucratic formality requires project designers to consider the literature on experience. This cannot be measured in the course of the experiment, but a number of intermediate measures could be used:

- increase in the use of DIU (# of search requests)

- increase in citations to past experience in project submissions

- review of content to determine if key "lessons learned" are reflected in project designs [for selected subject areas only]

In addition, it may be useful to interview a selected sample of project designers to determine their perception of the requirement [more paperwork?, useful exercise?] and the useful information which they acquired as a result of the requirement.

9. Experiment

Improve the priorities used to sort possible references in a DIU literature search. Eventually, these would be done by the computer itself. In the experiment, they would be done manually. The person requesting the search would either receive a smaller amount of material, or a listing showing in descending order the material likely to be of interest.

Rationale

A number of those who had used or heard of DIU felt that it produced too much material. Particularly at the Mission level, there was no time to review all this material in the face of other demands on the Project Officer's time. If the amount of material were reduced, or the user was given a priority listing of the materials provided, the most relevant materials might be read and other staff might be encouraged to use the system. This is particularly important with Missions, because it may be difficult for the Mission to interact with the reference librarian in order to narrow a search.

A number of factors could be used in placing priorities on the literature search.[1] These include:

- rating of the quality of an evaluation
- relevance or generalizability of the precedent project (as defined by project officer)
- geographic proximity (same regional bureau)
- similar stage of development
- cultural similarities
- others which might be defined in discussion with PPC

Experimental Procedure

For the experiment, Arthur D. Little, Inc. or PPC would assign a staff member to work with DIU. This individual would obtain additional information about the materials generated in the search; for example, by determining if the quality of an evaluation had been rated under the Triton contract or by contacting the officer responsible for a project to determine his view of its generalizability. This information would then be provided in a cover memo with the literature

[1] At the moment, all material under the search heading is listed in inverse chronological order.

search specifying the items most likely to be of interest. It may make sense to include full copies of the highest priority items, with abstracts only for the rest of the material.

Time and Cost of Experiment

With half to one full time staff member, we could probably prepare these priority listings for the significant searches requested during the study period (perhaps two months). It will be necessary to work closely with DIU staff, but this experiment should not increase the burden on them unless it is immediately effective and increases the volume of searches. In addition, one to two man weeks may be required to evaluate experimental impact.

Cost of Adopting the Procedure in the Agency

Until the function is completely computerized, this would require an expansion of DIU staff. In effect, it is a limited return to a function of the former analysis unit at DIU, but might be accomplished with one additional reference librarian--cost $25,000 to $30,000.

The system software has the capacity to sort material in a number of ways. If additional data fields are provided, (i.e., quality of an evaluation or generalizability of a project), these data items can be used as the basis for a sort This will require a one time cost to update the data base with this information. Sorting by country or region could begin sooner with relatively little cost.

Measure of Effectiveness

If effective, the procedure should increase the percentage of material provided by DIU which is actually read, and will also increase the number of DIU searches. A longitudinal survey of those making DIU requests can be used to determine if a larger proportion of the material is used with a priority scheme in place. An experiment will probably be too short to show an induced volume effect, but it may be possible to sample selected Mission staff to see if the improvement has increased their willingness to use DIU in the future.

10. Experiment

Develop a structured DIU request form to be distributed to the Missions and other users in order to narrow the breadth of a DIU search.

Rationale

This experiment is again designed to reduce the volume of information provided in response to a request. In talking to our information systems experts, we find that the volume of material provided in a search can be reduced by showing the ultimate user the way in which material is structured and asking him to indicate his own search priorities. This simple request form might accompany the experiment in prioritizing searches. It should be kept to one page so as not to deter use of the form or of DIU. There will always be problems in getting such request forms to the potential user, and the document might take the form of a reply cable or memo asking for further specification when an initial search request is received. It could not equal direct interaction with the reference librarian, but might be a useful substitute, particularly in distant Missions.

Experimental Procedure

Review existing and proposed Thesaurus and data base structure and see if a one page form can be developed which would improve the specificity of the search. This will require close work with DIU system specialists, reference librarians, and recent users. At the end of this period (two weeks), we may find that no one page form or reply cable could meet the need, and the project would be abandoned.

If a form can be developed, it would be sent to selected Mission and Bureau personnel likely to be involved in project design and review. It might also be provided to selected project design contractors. This would serve a second purpose--reminding some staff members of the existence of DIS and the procedures for its use. The form would also be used in reply to very broad search requests, e.g., "What do you have on agricultural credit?".

Time and Cost of Experiment

Development of the form and evaluation would take approximately one man months of contractor or PPC time. Costs of printing the form would probably be minimal, although approvals would be a problem. The form is unlikely to increase workload at DIU unless it stimulates a larger volume of DIU requests.

Cost of Adopting the Procedure at the Agency

Once the form is adopted and printed, incremental costs will be minimal except for any induced increase in the DIS search volume. In

fact, it may pay for itself by reducing the cost of document reproduction and transmission.

Measure of Effectiveness

If successful, the experiment would increase the volume of DIS requests and the percentage of literature which is actually read. Induced volume effects may be noticeable within the experiment period because distribution of the form will serve as a reminder of the DIU service. A longitudinal survey of users can be used to determine if the system provides a larger percentage of relevant material. In addition a review of activity logs and discussions with the reference librarians will determine if the percentage of very broad and unstructured searches is reduced.

KEY TO SECTION IV

Cost: Experiment: Low = less than $10K
Moderate = $10-25K
High = More than $25K

System: Low = Less than $100K
Moderate = $100-500K
High = More than $500K

Time: Low = Less than 2 months
Moderate = 2 months to 2 years
High = over 2 years

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
A.	Improving Evaluation Information				
	Ongoing Experiment				
	Evaluation Process Improvements				
3	Revise evaluation design and scope, get users more involved in design				12,13,30
3a	Increase host country involvement in evaluations	Identify countries with greatest host government participation, review evaluation reports from these countries using both text review and triton scoring system	1) Quality of data available for evaluation 2) Quality of resulting evaluations	Bureaus to identify countries; PPC or contractor to review evaluations	
4	Use audit process to follow up on response to evaluations	Review audit reports for countries 1-2 years after evaluation to determine: a) if response to evaluation was checked b) if response had occurred	% of evaluation recommendations responded to	PPC and audit, contractor could perform audit reviews	32,36,42
	Provide Rating System for Evaluations				
9	Develop index for quality of evaluation and reliability of findings	Determine if the availability of this rating system will increase use of evaluations by: - interviewing DIS users - counting requests for ratings	-increase number of DIS requests -increase in the citation of evaluation findings which have been rated high	PPC or contractor	33
	Develop Other Experience Documents				
11	End of tour reports - Mission directors	Determine extent to which - new mission directors find useful - Bureaus find useful	Ultimately, the quality of agency management, in short run, based on reader response survey	Could be conducted by Regional Bureau, PPC, contractor	35
13	Provide ghost writers to get experience articles into literature	Determine: - number of articles produced - readership within agency by sampling field officers	- # of documents produced - % of officers in field who read articles	S&T, PPC or contractor	6,7,17,20, 30,33,42

SECTION IV. EXPERIMENTS (continued)

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
3a	Minor	Moderate	Long	Low	Mod	
4	Minor	Moderate	Moderate	Low	Low	
9	Moderate	High	Long (rating system still under development)	Low (for evaluation only)	Moderate	
11	Minor	Moderate to High	Long - because of time for posts to change	low	low	
13	Minor	Moderate	Moderate to Long	Low (staff already committed)	Moderate	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
Proposed Experiments					
Evaluation Process Improvements					
1	Improve training of evaluation officers	Conduct enhanced seminar training for evaluation officers, including more on the academic basis for evaluation	-quality of evaluations; apply triton scoring system to evaluations prepared by staff with different levels of training	PPC and regional bureau, contractor can apply rating	5
2 a)	Perform fewer evaluations in greater depth	Follow through with Asia or other Bureau to reduce number of evaluations in relation to program volume	Use Triton rating scheme to see if quality of findings increase with reduction in volume	Bureau to participate, PPC and contractor to measure effectiveness	5,17
Improve Evaluation Documents					
5	Improve evaluation summaries:	-develop criteria for summary document contents	-increase in # of employees who have read/retained findings measured by:	contractor to develop guide-lines, PPC to identify who will write:	27
a)	For individual evaluations (2 pp)	-work with evaluation staff to prepare summaries consistent with guidelines	- citation frequency - survey of personnel	-effectiveness measured by PPC or contractor	
b)	Synthesis of multiple impact evaluations (5 pp)	Same as 5a, except with Studies Division, authors of impact evaluation summaries	-increase in frequency of citation -increase in reading/retention (measured by survey of agency employees)	Contractor to develop criteria, PPC/E/Studies staff to write summaries, contractor or PPC measures effectiveness	
6	Issue Administrator's Guidance (PD cable)	Take evaluation synthesis document, draft cable in Policy, distribute to Bureaus for approval	-% of employees in agency who recall information in the directive (after 6 months to one year)	PPC/E to create summaries document, AA for Policy to obtain signoff and arrange for issuance	19
7	Develop better evaluation abstracts-have them written in field by participants	Selected Bureau will agree that evaluation teams will write their own abstracts	-increase in citation of findings -comparison of two types of abstracts by a panel of agency staff	PPC/E and Bureau to arrange procedures, PPC or contractor to measure effectiveness	19
8	Have participants develop distribution list	Bureau agrees that evaluation team will develop distribution list based on personal contacts - PPC arranges for distribution	-increase in # of Agency personnel who read evaluation report	PPC/E and Bureau - PPC or contractor surveys distribution list to see who reads	38
Provide Rating System for Evaluations					
10	Include Mission comments on evaluation/project in report	All evaluations in selected Bureau will contain Mission response	-increase in citations -increase in staff willingness to rely on evaluation findings	PPC and Bureau, PPC or contractor measures effectiveness	28,30, 37

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
1	Minor	Minor-Moderate	Moderate	Low to Moderate	Moderate	
2	Minor	Moderate	Moderate	Low	Very low (could reduce system cost)	
5a	Minor	Moderate	Moderate	Low	Low	
b	Low	Moderate to High	Moderate	Low	Low	
6	Moderate	High	Low	Low	Low	
7	Low	Low-Moderate	Moderate	Low	Low	
8	Low	Low	Moderate	Low	Low	
10	Low	Moderate	Moderate (until a number are done)	Low	Low	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
Develop Other Experience Documents					
11	End of tour reports - project managers	Project managers in selected missions are required to write end of tour reports similar to Mission director's	-speed with which replacement managers effectively take command (as determined by Mission director	Bureaus select mission to participate, query Mission directors/ replacement officers on effectiveness	28,30,37
12	Develop more case studies	Identify good projects for case studies, assign training staff to develop these and integrate into program	-improvement in quality of agency management (not measurable in short period)	Training with help from Bureaus in selecting cases	28,30,32
13	Get experience results into literature by use of "ghost writers" - not S&T	Identify key figures in field (PPC and Bureau); PPC or OPA assign ghost writer to work with them	-# of articles produced -# of personnel who read and retain (agency survey)	PPC or OPA to provide ghost, effectiveness measured by PPC or contractor	5,7
14	Develop long-term evaluation of impact of AID programs	Get university/society or others to commit to these in-depth studies	-extent that agency uses study findings, determined by citations or surveys	PPC to obtain commitments of academia to these studies	9,10

EXPERIMENTS

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
11	Low	Moderate	Moderate (function of turnover)	Low (but may be resented)	Low	
12	Low	Moderate	High (DSP training program on hold, small throughput in post)	Moderate (10K/case)	Moderate	
13	Low	Moderate	Moderate	Moderate	Moderate	
14	Moderate	Moderate	Long (long time for study, then time for impact)	Moderate	Moderate	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
B.	Distribution of Information (Access/Retrieval)				
	ONGOING EXPERIMENTS				
	DIU				
23	Implement system for automatic DIU searches for selected categories of projects d) evaluation design	Meets with Asia Bureau to measure the improvement in quality of evaluations as a result of providing this information	-# citations in evaluation studies - ratings of evaluations using triton system	PPC and Asia, contractor for rating of evaluation findings	22
	Improve Conditions for Use of DIU				
26	Require contractors to perform DIU search prior to project design assignment	Have LA Bureau identify contractors subject to requirement, review their work for compliance, compare # of city to DIU material to other PIDs PPs where requirement not in effect	-# of references to DIU material in PP, PID subject to requirement	LA Bureau and PPC, contractor could do effectiveness measure	34,25,26
	Improve Use of Other (Non-DIU) Sources of Information				
28	Develop newsletter or snappy articles	Front Lines has published some, others could be provided by PPC - measure readership/retention by agency staff	Readership/retention survey -% of persons interviewed retaining key findings, compared to same measure without distribution	OPA and PPC - contractor could do effectiveness	22

EXPERIMENTS

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
23	Low	Moderate	Low	Low	Moderate	
26	Moderate	Moderate	Low-moderate	Moderate	Moderate-high (for DIU)	
28	Low	Moderate	Low-moderate	Low	Moderate	

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#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
31	Increased use of universities and other organizations or centers of excellence	-measure the percentage of AID offices in a particular field who have received information from these sources, compare with similar fields where no contractors exist	-% of exposure and retention of key findings	Most of these contracts are currently without a S&T or bureaus, so cooperation required, PPC or contractor to measure effectiveness	26
32	Presentation of evaluation findings at Mission Director Conferences and Regional Workshops	-PPC to expand participation in these areas, using new lessons learned documents - then measure retention at Mission staff level	-% of Mission staff receiving/retaining key findings	PPC and Bureau to schedule	34A,26
33	Distribute annual lists of evaluations	-this is now done by Asia Bureau, check effectiveness by: comparing frequency of citation to other Bureaus; determining increase in readership	-increase in frequency of citation -readership increases for selected evaluation	PPC and Asia - possible contractor involvement to measure effectiveness	23
	Proposed Experiments				
	DIU				
16	Develop process for tracking and verifying receipt of documents at DIU	-develop notification system from document sources -develop follow-up tickler system at DIU	-decrease in number of missing documents	DIU - contractor or PPC to assist in system design	8

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#	EXPERIMENTS ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
31	Moderate	High	Moderate	Low	High	
32	Low	Moderate - high	Low	Moderate (travel and staff commit-ments)	Moderate	
33	Low	Low	Low	Low	Low	
16	Low	Low - moderate	Moderate	Low	Moderate (additional staff)	

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#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
17	Improve document abstracts	Develop better criteria for abstract. Use abstractors with substantial development knowledge (Do only for documents identified in searches to begin with)	Increase in DIS use; response of field staff to paired abstracts in survey	DIU, could be done by contractor if short of staff	34A, 26
18	Develop structured DIS request form	Contractor to design request form using some key word break outs, field test with DIS users	Increase in percentage of relevant information supplied in response to a request	DIU and contract	23
19	Improve search priorities in DIS				8
	a) order of priorities	Review with Bureau desired priorities (region, level of development, etc).	Increase in percentage of DIS material which is ready by recipients	PPC or DIU to review categorizations	
		Test ability to rank items by these priorities.	Increase in citations of DIS materials	DIU to experiment with service on manual basis (contractor should provide personnel)	
		Distribute materials placed in priority if priority improves usefulness, modify DIS system to rank automatically		DIU to re-program system PPC or contractor to evaluate	
	b) alternative displays	Add software to DIU that would enable client to see the distribution of the variable materials by key work or other index variable (country, region, age, etc.)	Increase in percentage of DIS material of relevance to request; increase use of DIS	DIU with assistance from PPC	
20	More direct access capability for DIS a) links to terminals in Missions/Bureaus	Identifying Mission with available data communications links & terminals o train Mission librarian or other staff in DIS search procedures, o have Mission perform DIS searches through data links	o Increase in use of DIS o Increase in reference to experience in Mission documents	Bureau to identify participating Mission o DIU to set up data communication links and train staff o PPC or contractor to evaluate	5,7,12,13, 14

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
17	Low	Low to Moderate	Low	Moderate if abstracts are rewritten	Moderate to high until existing abstracts are rewritten, then low	
18	Low	Moderate	Low	Low	Low	
19a	Low	Moderate	Moderate (until system programming is revised)	Low - Moderate	Moderate	
19b	Low	Low to Moderate	Moderate	Low - Moderate	Low to Moderate	
20	Low if equipment is in place	Moderate	Low - Moderate	Low - Moderate	Could be high	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIENCE
20	b) selected files provided to Missions for automated search on-site	o DIU to develop or obtain search software for micro computer o Develop DIS file abstract through relevant regions/ subjects o train Mission staff o provide updates of file abstracts	o Increase use of DIS by Mission o Increase in citations to experience in the Mission documents	o Bureau to select Mission o DIU to develop system and train o PPC or contractor to evaluate	
21	Reinstate DIU analysis Unit	DIU to hire one or two analysts with development experience to begin preparing DIS response packages (might begin with one Bureau)	o Increase in utility of information to those making DIS requests o Increase in number of DIS requests o Increase in citation to experience in project documents	o DIU to hire and train o PPC to agree	5,12,13,14,37
22	Improved user guidance training a) Re-issue DIU guidance cable	o DIU to provide training seminars in DIU use for personnel entering Agency outside IDI Program o DIU to update and re-issue instructions on DIU use	Increase in number of DIS search	o DIU to develop training program o DIU to review instructions	14,27
23	Implement system for automatic searches for selected categories of projects a) pre-PID b) PP preparation c) CDSS	Work with selected Bureau to identify appropriate points for delivery of DIU documents o perform DIU search and provide documents for review (note: this experiment can be combined with #19: Improve Search Priorities in DIS, and #21: Reinstate Analysis Unit or #34: Provide Research Assistance. To test improved DIU communications and determine most useful steps.	Increase in reference to experience in these documents (compared to those prepared without this assistance)	PPC and selected Bureau to arrange DIS to provide materials, contractor to assist if staff is short;	1,2,5
24	Develop periodic user reports which show who is/is not using DIU	o Use DIS log to show number of DIS requests to Bureau or other administrative unit (compare to number of projects - provide feedback to Bureaus)	Increase in number of DIS search requests when feedback is provided	DIU to perform; PPC to arrange distribution to Bureaus	21,25,26

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
20b	Low	Moderate	Low - Moderate	Moderate	Moderate (if Mission buys micro-computers for other purposes)	
21	Moderate	Moderate - High	Moderate	Moderate	High	
22	Low	Moderate	Low	Low	Low	
23	Low	Moderate (for a,b,c)	a-low, b-low, c-moderate	Moderate all cases	Moderate all cases	
24	Low	Low - Moderate	Moderate	Moderate	Low	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
25	Require DIU search/ literature review prior to approval of PID or PP. a) issue requirements	In selected Bureau - issue requirements for DIS search at these stages	o Increase number of DIS searches o Increase in reference to experience in project documents o Improvements in project design	o DIU issues requirement o DIS does searches o Contractor evaluates changes	2,5
	b) submission forms changed to show certification with review requirement	Work with management to provide modification of PID, PP; submission form to incorporate check-off requirements showing DIS search done	o Increase number of DIS requests o Increase number of citations	o PPC and management to develop changes o sign-off by AA's o PPC or contractor to evaluate	
IMPROVING USE OF OTHER (NON-DIU) SOURCES OF INFORMATION					
27	Provide listing of personnel responsible for similar projects and project design	o Perform DIS search for selected projects o Identify authors of PP, PID evaluations, shown in search o Determine current assignments from personnel o Provide contact list with current address to those responsible for new projects	o Increase number of contacts by project authors (could be determined by follow-up interviews)	DIS, PPC, and personnel contact and then coordinate	2,32,42
29	Add on-line access to other relevant data bases	PPC/DIU to arrange for incorporation of selected other development data bases in file which can be accessed through DIS	Number of citations to research contained in these data bases	PPC to identify data bases to be added; DIU to arrange for access	12,13
30	Make and distribute videotapes of experience information a) Q&A between senior AID and new staff members b) Impact evaluation films c) Discussions with noted AID experts and leaders d) Case Studies	o PPC in Bureaus to select topics in a,b,c, or d o Training or OPA to produce videotapes o Distribute to Missions o Measure # of viewers or retention	Number of Agency staff exposed to selected videotape o Increase in knowledge of lessons learned (might be tested by sample interviews after 6 month lag)	Training and/or OPA to produce: PPC and Bureaus to determine priorities	11

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
25a	Moderate (additional Mission workload)	Moderate	Low - Moderate	Moderate	High (DIU and Mission)	
25b	Moderate - High	Low to Moderate	Low	Low (exclusive of DIS search)	Low to Moderate (additional burden in Mission)	
27	Moderate	Moderate - High	Low	Moderate	Low	
29	Low	Low - Moderate	Moderate	Moderate	Low (When system is worked out)	
30	a,b,c, Low d Moderate	a,b Moderate c Low - Moderate d Moderate	a,b,c, Low d Moderate - High	a Moderate b Low c Moderate d Moderate (as increment to case studies)	a Moderate b Low c Moderate d Moderate (as increment to case studies)	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
C.	Structural Changes to Encourage Information Use of Existing Experiments				
34	Provide research assistants to summarize information on experience for AID staff b) In project review (Africa Bureau)	Assign junior staff member/ research assistant to review materials identified in DIS search and prepare "Precedent Summary Memo" for review committee. It may be possible to do this by formalizing current research assistant role in Africa Bureau	Best measure would be change in reviews of particular project after the "Precedent Summary" is provided - this might be time consuming and it would be necessary to by by subjective comparison of review process to different projects, some with and some without precedent reviews.	PPC and responsible Bureau to arrange contract or to provide research assistants if not other wise available	11
35	Split projects into phases; require evaluation and response prior to funding subsequent phases.	In Africa Bureau, prepare management perception of subsequent phase of projects managed in this way.	Perhaps use income evaluation to test outcome of projects which are and are not split.	Africa Bureau with PPC, budget, or contractor	2
37	Focus budget, staffing and organization around priority programs	Use S&T sector councils as test case compare CDSS, PID, PP documents in which councils intervene and those where they do not	Increased citations to evaluations in experience in project documents, CDSS after sector council involvement	S&T to select Sector Councils for study; PPC to do evaluation	2,36
	Proposed Experiments				
34	Provide research assistants to summarize information on AID experience a. In project preparation	o Select participating Bureau design team o Find IDI, contract employee or other AA o Have RA perform DIS search and prepare "Precedent Summary" memo for design team on each project	Increase in extent to which PID, PP, reflect lessons learned o Check success in Bureau Review o Possible rate by panel of senior Bureau of PPC officials	PPC to identify Bureau and perform evaluation Selected Bureau carries out experiment Contractor could provide research assistance if no other source	3
	b) In project review (other than Africa Bureau)	Bureau to select research assistant to work with project team to prepare precedent summary documents	Best way would be to compare review findings for a particular document before and after precedent summaries	o PPC to help in selecting Bureau and in evaluation o Bureau takes responsibility for experiment	

SECTION IV. EXPERIMENTS (continued)

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
34	Low	Moderate - High	Low	Low	Moderate	
35	Low - Moderate	High	Low - Moderate	Low	Low	
37	Low	Moderate	Moderate	Low	Low	
34a	Moderate	Moderate - High	Low	Moderate	Moderate	
34b	Moderate	Moderate - High	Low	Moderate	Moderate	

#	INNOVATION	DESCRIPTION OF EXPERIMENT	MEASURE OF EFFECTIVENESS	ACTION RESPONSIBILITIES	RELATED EXPERIMENTS
36	Provide career rewards for publication of articles on experience. Administrator's office/ Personnel	Administrator's Office/ Personnel o Special awards for publication o Special consideration in the Annual Review	Increase in number of articles published	PPC to work with administrator's office/Personnel	
41	Create PPC/E link to Sector Councils	o PPC to negotiate positon on Sector Councils o PPC member has responsibilities to provide evaluations to councils (would do DIS search)	o Increase in evaluations and other materials cited by Sector Councils	PPC and S&T	37
42	Improve links between evaluations and budget decisions	Make PPC staff a part of budget review process by a) Refering each country budget to PPC for review b) Or PPC representatives sit in all budget review sessions. PPC representative to identify applicable evaluation findings	Increase number of budget changes based on evaluation findings (difficult to measure by PPC representative might keep a log)	PPC and Budget	35
43	Have host government sign PID and PP	Negotiate with Bureaus to identify Missions where experiment would apply. Include host country governments and design teams Require host country sign-off activity and PP submission	Improved project design; Improved education of host country (difficult to evaluate except long term retrospective)	PPC to negotiate with Bureau	25,26,39

#	ADMINISTRATIVE DIFFICULTY	POTENTIAL IMPACT	TIME UNTIL IMPACT IS ACHIEVED	COST EXPERIMENT	COST SYSTEM	VOTE
36	Moderate	Moderate	High	Low	Low	
41	Moderate	Low - Moderate	Moderate	Low	Low	
42	Moderate	High	Low - Moderate	Low	Low	
43	High	Moderate	High	Low	Low	

APPENDIX A

INTERVIEWS

DIU

Lida Alen - Director
Maury Brown - Deputy Director
Lee White - Systems Analyst
Ellen Boissevain - Reference Librarian

Asia Bureau

Larry Smucker
Tom Oliver
Maureen Norton (Evaluation Officer)
Tom Arndt (Mission Director, Sri Lanka)
Gerrit Argento (P.O. in Indonesia)
Bill Goldman (Health Project Officer - Philippines)

Near East

Selig Taubenblatt
Gary Adams (P.O. in Bangladesh)
Steve Freundlich (P.O. in Nepal)

Latin America

Albert "Skaff" Brown
Bernice Goldstein (recent Evaluation Officer)

PPC

John Hummons
Fred Shieck
Dick Blue
Twig Johnson
Molly Hageboeck
John Erikkson
Dick Archie
Ain Kimivae

S&T

Kurt Farrar
Walt Rockwood (focal point for publication on successful efforts)
John Robbins (and five members of ag and nutrition team)
Bill Paupe
Ann Tinker

Africa

Ray Love
Ann McDonald
Lane Holdcraft

Others

Frank Kimball
Herbert Beckington - I.G.
Dan Creedon
Director, DSP Course
Chuck Gladson
Lenny Elliott
Lou Gulick - House Staff
Ed Harrell - Private Enterprise

APPENDIX B

PROJECT DESIGN AND AID DECISION-MAKING PROCESS

We have identified nine principal points at which the whole complex of experience based information can effect AID decision making. This is shown in the attached flow chart which is greatly simplified.

1. In developing project ideas at the country level

2. In preliminary project design at the Mission level. Outside experts from S&T, universities and consultants are often used at this stage. A project can develop a great deal of momentum by the time the formal document--the PID--is developed and submitted.

3. PID review at the Bureau level in Washington. One or more reviewers at this stage should have multiple country or multiple project experience which they can bring to bear in evaluating the PID. Sector councils led by S&T now have the right to become involved in the review of selected projects at this stage, but S&T has traditionally been involved in many reviews.

4. Detailed project design. Again, S&T experts or a consultant may be used in this process. It is an obvious point at which the review of precedents from other projects can be useful in shaping the project.

5. The Project Paper (PP) is the output of the design process. Below certain levels, approval is delegated to the Mission so that there is no further opportunity for outside experience (other than the Mission Director's own experience) to affect the project design. If the project is reviewed in Washington, a variety of Bureau staff, including some from S&T are involved in the review and a broader base of personal experience is applied to the program. The S&T led Sector Councils now have the right to participate selectively in these Bureau reviews.

6. Project implementation may extend over many years. The project file and the experience of predecessor project officers become the dominant information source. Interim evaluations--the PES--often provide information on necessary corrections in project management and design.

   The impact Evaluation, an optional exercise after the project is completed, does not effect the project itself but should be a major influence on selection, design, and management of subsequent projects.

7. Development of the Country Strategy document (CDSS) each year should provide an excellent opportunity to incorporate broader findings about the development process and the relative merits of different projects and approaches to development. Agency policy and any generic "lessons learned" should be applied at this point to prioritize candidate projects.

8. Each CDSS is reviewed in Washington. Broader collective experienced should be applied in this review. Recent administrative orders involving the S&T led Sector Councils are designed to insure the consolidation in the CDSS of technologies and the effectiveness of programs in technical areas, as articulated in the Sector strategies. However, the overall country strategy is also heavily influenced by the strategic importance of the host country. Projects proceeding to the PID and design change should be incorporated into the approved CDSS.

9. The annual budget submission (ABS) is prepared for each country and submitted for Washington review. The document should reflect the CDSS and provides the vehicle for funding selected projects. The amount approved is heavily influenced by political factors, and the dominant use of evaluations and other experience based information has been in selecting programs or projects to be cut in order to meet budget targets.