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**PRACTICAL CONCEPTS INCORPORATED**

INSTALLATION OF AID's  
PROJECT EVALUATION SYSTEM

VOLUME TWO

RESULTS AND RECOMMENDATIONS

SUBMITTED TO  
AGENCY FOR INTERNATIONAL DEVELOPMENT  
FOR  
FINAL REPORT  
CONTRACT NUMBER csd-2885

BY  
PRACTICAL CONCEPTS INCORPORATED  
1825 K STREET, N.W.  
WASHINGTON, D.C. 20006  
(202) 833-1040

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## PREFACE

This final report is submitted to the Agency for International Development by Practical Concepts Incorporated in accordance with the requirements of Contract Number AID/csd-2885. This final report summarizes the original objectives and plan for implementing the Project Evaluation System (PES), the actual installation program, the results achieved, and recommendations to further improve evaluation.

An executive summary, the first volume of this report, summarizes results from installation of the Project Evaluation System and recommendations for further improvements in evaluation of AID-supported development activities.

This, the second volume of the report, describes the effort performed under the contract, the preliminary results of that effort, and the analysis from which the recommendations derive. This volume is organized in chapters that correspond to ascending levels of management concern about the installation of a Mission-useful project evaluation. Chapter I is an introduction and overview stating the original objectives and plan for implementing the evaluation system. Chapter II describes project activities including the tasks undertaken and completed and an assessment of the efficiency with which project inputs were used to accomplish the tasks undertaken. Chapter III describes progress toward the purpose of this effort - institutionalizing a Mission-useful evaluation system in each USAID Mission. Chapter IV describes progress toward achieving the goal of the project -- the expected contribution to AID-supported projects in developing countries. Chapter V describes the "next steps" for the evaluation community to consolidate the project evaluation system and further develop evaluation. Chapter VI summarizes three alternative strategies for improving evaluation and PCI's recommendation for improving evaluation in AID. There are four appendices to Volume II, containing statistical and other related materials referred to in the text.

LIST OF ABBREVIATIONS

|       |                                 |
|-------|---------------------------------|
| CFS   | Country Field Submission        |
| EOPS  | End of Project Status           |
| GPOI  | Goal, Purpose, Outputs, Inputs  |
| LF    | Logical Framework               |
| MEO   | Mission Evaluation Officer      |
| PAR   | Project Appraisal Report        |
| PCI   | Practical Concepts Incorporated |
| PEC   | Program Evaluation Committee    |
| PES   | Project Evaluation System       |
| PIP   | Project Implementation Plan     |
| ProAg | Project Agreement               |
| PROP  | Project Paper                   |
| REO   | Regional Evaluation Officer     |

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## CHAPTER I

### OBJECTIVES AND PLAN

This chapter describes the objectives and the PCI approach to installing an improved Project Evaluation System for AID. Subsequent chapters compare actual and expected results, assess the results, and recommend actions to further improve evaluation.

#### A. BACKGROUND

In July, 1970, the Agency for International Development received a set of recommendations for improving its project evaluation process and system. Those recommendations, developed under Contract csd-2510, promised important improvements in AID project evaluation; there were implications of comparable improvements in project design, planning, and management, and the Agency elected to implement those recommendations with some modifications.

The original PAR system fell short of its potential effectiveness because there had been inadequate understanding of evaluation concepts and procedures. Written instructions were unlikely to overcome that lack of understanding, and orientation and training appeared necessary if evaluation was to deliver its potential value as a management tool.

Specifically, the findings of the study of the PAR system suggested that unless familiarization and training programs were undertaken, we could expect that:

1. Evaluation concepts would not be generally understood and applied;
2. Evaluation would not be perceived as a Mission-useful process;

3. Evaluation findings would not result in replanning;
4. The evaluation reporting form would be prepared at relatively high cost and bring relatively low benefit to the Mission; and
5. Evaluations would often be superficial and the reports pro forma.

The recommended improvements in the PAR system provided a sounder conceptual basis for evaluation and a framework for the evaluation process. The evaluator was equipped with advisory materials and forms. All in all, the new system made evaluation simpler, but training was essential because of changes from the older practices. To achieve the substantial improvements in evaluation and, consequently, in project planning that the new system offered, AID had to ensure that:

1. Key personnel in each Mission master the new concepts and techniques;
2. Mission management and the Evaluation Officer understand the evaluation process and recognize its utility;
3. The Mission Evaluation Officer and Mission staff are familiar with the advisory material and forms; and
4. The Mission Evaluation Officer and selected members of the Mission have gone through the evaluation process and are confident that it can be repeated for other projects.

PCI proposed to assist AID implementation of the recommended Project Evaluation System (PES) improvements on a time-urgent, but orderly, basis. Our proposed approach was to prepare AID/W Evaluation Officers to install the improved system, assist the Agency in a familiarization program at AID/W, and provide on-site implementation assistance both to train Missions and to develop an AID capability to provide subsequent on-site assistance. In addition, an effort was proposed to clarify the AID/W uses of and responses to the PAR as a report.

B. KEY REQUIREMENTS FOR EFFECTIVE IMPLEMENTATION AND OPERATION OF THE IMPROVED PES SYSTEM

The PCI proposed approach to implementation assistance involved supporting the Agency in each of the following key areas of implementation:

1. Effective implementation relies heavily on both the AID/W Evaluation Officers and subsequently the Mission Evaluation Officers, pointing to a need for prompt and intensive training. Thus, the key to our proposal was providing such training on a time-urgent basis.
2. There was no evidence to suggest that submitting written materials to the Missions without other help would substantially improve evaluation. Therefore, cluster training and on-site implementation assistance were recommended. We proposed to assist the Agency in refining training approaches and techniques and in actually offering on-site implementation assistance to a number of Missions -- both to train Mission personnel and to equip AID/W personnel to perform their roles in Mission installations.
3. AID/W familiarity with the PES system is essential to effective implementation in the Agency. We proposed to familiarize key personnel in four regional bureaus.
4. Some Missions would require extra assistance to overcome problems identified after the initial on-site implementation assistance. PCI proposed that Budget for a limited number of follow-up visits be reserved for important problems where such assistance was requested by the Mission and Regional Evaluation Officer. Alternatively, these funds could have been used to evaluate the actual effectiveness of the improved PES system in a representative sample of Missions. (This task was not funded in the final contract.)
5. AID/W responses to PARs are an important part of the evaluation system, but those responses were not yet fully articulated and defined. The concepts had been established, but -- as the study of the original PAR system proved -- there is considerable distance between the concept and the practice. Thus, we proposed to work closely with AID/W personnel to fully define uses of and responses to the PARs. (This task was not funded in the final contract.)

C. THE PCI PROJECT DESIGN FOR INSTALLING AID'S PROJECT EVALUATION SYSTEM

The purpose of PES implementation was to institutionalize project evaluation system that would:

1. Be useful to and accepted by Mission management as a means of facilitating their planning and programming processes;
2. Accurately record Mission management processes, providing insight into both Mission management skills and the projects.

An important by-product of the project was to provide a focus for continuing improvement in Mission management through transfer of skills and experience paced to each Mission's rate of absorption.

The outputs of Project Evaluation System installation that would cause the project purpose to be achieved were:

1. AID/W Evaluation Officers would be trained to install the Project Evaluation System in their regions.
2. All Mission Evaluation Officers would be trained to "operate" the evaluation system installed in their own Missions.
3. At least twelve Missions would be visited by AID/W evaluation teams with PCI support clarifying how to effectively and appropriately use the Project Evaluation System and the PAR form.\* (Subsequently, 33 visits were supported by PCI under this contract.)
4. Follow-up visits would be provided to solve system-related problems faced by Missions and to evaluate the institutionalization of the evaluation system (not included in PCI contract).

\*References to 33 visits count Rio de Janeiro and Recife as two separate missions.

5. Key personnel in the AID/W regional bureaus and desks would understand and be able to use the reports generated from the PAR system.
6. AID/W key personnel would respond appropriately to the Missions as PARs were received (not included in PCI contract).
7. A final report would summarize the results of installing the PES system, identify any problem areas, and recommend approaches to further improvement of evaluation in the Agency.

D. TASK DESCRIPTIONS

The PCI approach to producing the desired outputs is described below:

Task 1: Training the AID/W Evaluation Officers

The most time urgent of the tasks faced by the Implementation Manager was training the AID/W Regional Evaluation Officers and their assistants. These men had to become sources of guidance and expertise for both the Mission Evaluation Officers and AID/W staff. If they were to effectively fulfill their roles, they needed training -- formal training to clarify the concepts of the recommended system and provide them with basic heuristic skills and informal training to help them install the new system. To respond to the press of time, such training had to start as soon as possible. Mission Evaluation Officers were already seeking guidance and not receiving it.

There were three basic objectives of initial training for AID/W Evaluation Officers:

1. Conviction that the system was valuable;
2. Content of the system to be mastered, with particular attention to key concepts;
3. Training skills to install the system in USAID Missions.

The recommended approach to training involved a series of five half-day sessions in Washington.

Task 2: Training of Mission Evaluation Officers - "Cluster Training"

Successful implementation of the PES system would require intensive training of Mission Evaluation Officers. AID/W planned to conduct three intensive training sessions -- "cluster training" -- in Bangkok, Rio de Janeiro, and Addis Ababa for Missions of those regions. Missions

represented at the San Salvador Evaluation Conference were not invited to these sessions but would receive on-site assistance later. (The Latin America Conference was held in Asuncion instead of Rio de Janeiro.)

PCI proposed to participate in three "cluster training" sessions. This cluster training would outline the evaluation process and sufficiently familiarize key Mission personnel with the system concepts that the Mission could prepare itself for the visit of the on-site team. This advance preparation would be necessary for the implementation team to be able to achieve its objectives within a one-week span and would be particularly useful to the Mission, enabling it to prepare additional projects for evaluation. It was expected that each Mission would select two sample projects for evaluation with the assistance of the AID/W evaluation team. Personnel responsible for one project would normally attend the cluster training session. Evaluation of the "other" project would thus test the Evaluation Officer's ability to manage evaluation without special prior training of the key participants.

PCI would collaborate with AID/W to support the cluster training sessions in four ways:

1. Planning and preparation of curriculum, instruction materials;
2. Assisting AID/W participants in the cluster training;
3. Direct participation by PCI personnel in the cluster training sessions;
4. Evaluation, review, and redesign of later sessions to take advantage of experience from the first conference.

### Task 3: On-site Implementation Assistance

During on-site implementation assistance, PCI would reinforce previous training for Mission personnel and AID/W personnel. Mission personnel would, of course, be trained in the PES system concepts and process. The Mission Evaluation Officer would have the benefit of the previous

cluster training session. His effectiveness would be enhanced by an AID/W evaluation team to indoctrinate the rest of the Mission and to reinforce his earlier training. PCI participation in evaluation teams would also help AID/W team members to learn, by example, how to provide on-site assistance.

Mission installation of the PES system improvements would involve evaluating at least two projects in each Mission. For evaluation of the first project, the PCI leader of the implementation assistance team and the AID/W Evaluation Officer would play major roles in managing the evaluation process and assisting the Mission Evaluation Officer. The Mission Evaluation Officer would manage the evaluation of the second project, with backstopping by the PCI representative and the AID/W Evaluation Officer.

The AID/W evaluation teams would perform four tasks in each Mission:

1. Tailor the PES system to the specific needs of the Mission and its Director, creating a demand for good evaluation from top management;
2. Inform the Mission, from top management to project-level managers, about the essential elements of the PES system;
3. Reinforce the credibility of the Mission Evaluation Officer, demonstrating by example how to make evaluation a useful management tool;
4. Help the Mission conduct two successful evaluations that provide evidence to the Mission that they can and should use the PES evaluation approach.

Task 4: Follow-up Visits to Missions (Not Included in PCI Contract)

There would inevitably be some problems of implementation in the Missions that could be anticipated in the initial cluster training and on-site assistance. PCI proposed to reserve funds for troubleshooting when Missions requested additional assistance and AID/W wished to help by sending PCI assistance.

Follow-up visits to a representative sample of Missions would be made prior to writing the final report to evaluate the actual usefulness of the PES system to the Missions and the extent to which it had been institutionalized. The observations from these follow-up visits would be important for identifying what future actions the Agency must undertake to make further improvements in evaluation.

#### Task 5: Orientation and Familiarization of AID/W Personnel

Effective implementation and operation would require the support of AID/W operating and staff personnel; therefore, it was recommended that a familiarization effort be undertaken. This effort would involve a series of presentations to top AID/W decision makers and clarification of system uses for various levels of the regional bureaus.

A series of half-day seminars and two-hour presentations was envisioned. Attendance at such seminars and presentations would be left to regional discretion, with the Regional Evaluation Officer serving as the basic point of contact. The Regional Evaluation Officer would follow-up the seminars with exercises and would be supported by PCI.

#### Task 6: AID/W Responses to PAR Reports (Not Included in PCI Contract)

The PES system depends upon AID/W personnel responding appropriately to PAR reports. It is essential that norms be developed about how to reply to PARs for all combinations of good and bad projects with good or poor evaluations. PCI proposed optional assistance in responding to some real PARs for real projects to test and refine the concepts recommended to AID/W personnel. PCI also proposed to develop a one-day workshop for the Regional Evaluation Officers to develop responses to the PAR reports.

Task 7: Project Reviews and Progress Reports

PCI's formal project reviews guarantee an interchange of ideas. Experience early in the project would suggest improved approaches to implementation of the PES system that would be incorporated into later work.

Task 8: Consultation with PPC and the PEC

PCI would report periodically to the PPC and to the PEC on progress under the contract. These consultations would result in valuable interchange of ideas and experience both for PCI and the Agency.

Task 9: Final Report Preparation

A final report would be submitted to the Agency including the following:

1. The original objectives and plan for implementation of the PES system;
2. The actual program of implementation;
3. The results achieved; and
4. Conclusions and recommendations for actions required to further improve evaluation.

Task 10: General Supervision and Planning

Planning and supervision of all tasks, including joint AID-PCI planning sessions, were included as Task 10.

## E. DETAILED APPROACHES TO KEY TRAINING TASKS

The PCI approach was developed more fully for three relatively formal training tasks:

1. Training the AID/W Evaluation Officers;
2. "Cluster training"; and
3. AID/W familiarization.

### 1. Training the AID/W Evaluation Officers

This was the time-urgent issue, as the Regional Evaluation Officers and their deputies had to be sufficiently familiar with the system concepts to explain the system to both AID/W and field personnel. It was recommended that this effort be started immediately, with minimum preparation of formal course materials. This highly informal approach to training was acceptable in view of the fact that the seminar approach was recommended, and that the key instructors (Dr. L. D. Posner and Mr. L. J. Rosenberg) had developed the system concepts.

Regional Evaluation Officers had to be trained in the evaluation system and principles and also in techniques for installing the system both in AID/W and, more important, at the Missions. The recommended style of training was the seminar (and subsequently the moderated workshop) method, with real instead of simulated projects. Regional Evaluation Officers had to develop the art of leading seminars at Missions, to both evaluate real projects and train Mission personnel.

The basic module for training AID/W Evaluation Officers would be compressed, due to the urgency of preparation for cluster training sessions, into five half-day sessions for all AID/W personnel participating in cluster training or "on-site" evaluation teams. (Recommended initial training had been ten half-day sessions or a five full-day course at a facility such as Airlie House, with the group living together for the course of a work week.)

To the extent practical, exemplary material to be used in the field would be developed by the Regional Evaluation Officers in their training, precluding the need for evasive action when confronted by puzzled Project Managers. A portion of the session would be devoted to the practical aspects of providing implementation assistance -- ranging from the uncooperative ("What do I do when the Mission Director thinks evaluation is a hoax?") to the overly optimistic ("Your evaluation concept sounds great -- how do I solve my problems in family planning?").

## 2. Cluster Training

This would involve three full days, and would be attended by at least two key members of each Mission before the visit to their Mission by the evaluation team (AID/W and PCI). The cluster training would ensure that key participants were sufficiently conversant with the concepts and procedures that they would start data-gathering and analysis before the evaluation team arrived.

## 3. AID/W Familiarization and Orientation

This would be required for effective operation of the improved PES system; or any management system, and requires that AID/W understand, support, and use the system. Therefore, a series of familiarization presentations and seminars were proposed for AID/W staff. A series of half-day seminars would be devoted to the PES system concepts. Regional Evaluation Officers would conduct workshop exercises to consolidate the concepts promptly, with a low cost option of PCI conducting the workshop exercises.

Seminars would be held for groups of approximately ten, of roughly comparable grade levels, and within an individual regional bureau. In addition to the one-day seminars, certain key people, such as the Regional Assistant Administrators and the chiefs of DP, demand special attention. It was proposed that a two-hour program be

developed for presentation at the Bureau staff conferences. In addition, personal visits would be aimed at both the Assistant Administrators and chiefs of DP.

Summary presentations to key AID/W staff would be highly informal, with individual flip-chart presentations prepared and delivered in a way that encourages immediate audience feedback and interrogation. Basic topics of presentation would involve:

- Actions/support required of the attendees, with emphasis on "local" problems/opportunities;
- The issues/problems resolved by the improved system;
- The conceptual basis of the improved system;
- Operations and operators of the system;
- System uses appropriate to the attendees.

#### 4. Use of Training Aids (Not Part of Final Contract)

Training aids that could be used for clarifying the "logical framework" -- which is part of almost all training and presentation sessions -- appeared to justify use of relatively more expensive training aids (e.g., film or tape cassettes). PCI offered, as a low-cost option, to assess costs and benefits of such techniques and establish availability of suitable material. An optional effort was also included for reworking materials from the cluster training and the Regional Evaluation Officer training into a form suitable for periodic AID/W training of Mission Evaluation Officers and, separately, key evaluation staff before they are posted.

F. MANAGEMENT PLAN

The PCI approach to this installation was to train the AID/W Evaluation Officers during implementation assistance by having them observe PCI staff provide implementation assistance to (12) selected Missions. The thrust of implementation assistance would pass from PCI to the AID/W Evaluation Officers, who would then provide implementation assistance to the remaining Missions with PCI sending a representative late in the program to assess the adequacy of implementation and recommend any follow-up activities.

Cost estimates assumed that two weeks would be required for the largest Missions (Nigeria, India, and Laos), except those hosting cluster training sessions where seven days would suffice (Thailand, Brazil, and Ethiopia). One week would be required for other Missions.

The exact schedule would be paced to coordinate the implementation activities of the four regions. The bulk of PCI activities would be concluded five months after contract award. However, submission of the end-of-contract report would be delayed until August 1971 to ensure that feedback had been obtained from representative Missions and AID/W personnel.

The overall project was directed by Mr. L. J. Rosenberg, who had previously directed the original study of AID project evaluation. Dr. Lawrence D. Posner, who had assisted him in that study and who had prior development experience in both Latin America and Africa, would manage field operations and the implementation assistance effort. Dr. Theodore Marton, with extensive experience in intensive training and human behavior, would assist in developing and providing the actual training.

#### G. AMENDMENTS TO PCI SCOPE OF WORK

The original scope of work for PCI was expanded to permit PCI assistance to AID/W evaluation teams in 32\* Mission installations. The Technical Assistance Bureau requested and is receiving PCI assistance in using the concepts of the Project Evaluation System for analyzing approximately 240 TAB projects. Assistance to the Technical Assistance Bureau was initiated when this final report was already in draft, and will continue after the submission of this final report. Consequently, results are not reported in this document.

\* Thirty-two mission installations count Rio de Janeiro and Recife as one mission. In subsequent chapters Rio and Recife are counted separately.

CHAPTER II  
INPUTS TO OUTPUTS:  
TASKS UNDERTAKEN AND COMPLETED

Chapter II summarizes the tasks undertaken and completed by PCI in installation of AID's Project Evaluation System. Section A compares planned and actual approaches. Section B assesses the linkage of inputs to outputs, identifying strengths and weaknesses in the approach used.

A. PLANNED AND ACTUAL ACTIVITIES

PCI took responsibility for five tasks to assist installation of AID's Project Evaluation System:

1. Develop and conduct an intensive training seminar for AID/W Evaluation Officers;
2. Develop and conduct three intensive cluster training seminars for Mission Evaluation Officers and other key personnel;
3. Provide on-site assistance during installation of the PES in thirty USAID Missions;
4. Develop and present a series of short orientation seminars about PES for AID/W staff; and
5. Provide other assistance necessary for the installation of the PES.

The actual experiences in performing each task are described in the following sub-sections:

Task 1: Training AID/W Evaluation Officers

A seminar for AID/W Evaluation Officers was conducted October 26 to October 30, 1970, in Washington, D.C. The five half-day sessions were to prepare AID/W personnel for their roles in cluster training and on-site assistance to USAID Missions.

The training curriculum provided instruction, practice in using PES, and guidance for teaching USAID personnel how to use PES. The major topics were:

- Day One -- Design and Evaluation Concepts
- Day Two -- Work with Project Design
- Day Three -- Work with Evaluation
- Day Four -- Managing the Mission Evaluation Process
- Day Five -- Presenting the System to the Mission

The detailed agenda for the five-day session is summarized in Exhibit II-1.

The teaching approach of the training sessions was a calculated mixture of lecture-style presentation, moderated workshops, and seminars. Lectures were used to present new material. Moderated workshops allowed the trainees to practice using the PES concepts and to learn from others how to use them. The seminar sessions allowed trainees to discuss their reactions, strengthening their conviction that the PES concepts were helpful for others as well as themselves.

The instructors for the training session included the senior staff of PCI and AID/W evaluation staff that had prior experience using PES. The training strategy was to use AID/W staff as instructors as much as possible to foster their self-confidence about their command of the material and their ability to teach in the field. They also

EXHIBIT II-1  
SEMINAR FOR  
AID/WASHINGTON EVALUATION OFFICERS  
October 26 - October 30, 1970

AGENDA

|                             | <u>Module #</u> | <u>Title</u>  | <u>Title</u> | <u>Instructor</u>           |
|-----------------------------|-----------------|---|--------------|-----------------------------|
| <u>DAY ONE</u>              |                 |   |              |                             |
| 1:00 - 1:05                 | 1               | Welcome   |              | AID PERSONNEL --<br>HUBBELL |
| 1:05 - 1:40                 | 2               | Introduction  |              | MARTON                      |
| 1:40 - 2:50                 | 3               | Basic Concepts and<br>Purpose of New PAR<br>System      |              | ROSENBERG                   |
| 2:50 - 3:00 -- Coffee Break |                 |   |              |                             |
| 3:00 - 4:15                 | 4               | Detailed Development<br>of Project Design<br>Concepts   |              | POSNER                      |
| 4:15 - 4:25 -- Coffee Break |                 |   |              |                             |
| 4:25 - 5:05                 | 5               | Responsibilities for<br>Implementing PAR<br>Evaluations |              | ROSENBERG                   |
| 5:05 - 5:25                 | 6               | Day One Summarization                                   |              | MARTON/POSNER/<br>ROSENBERG |

## Exhibit II-1 (Cont.)

A G E N D A

|                        | <u>Module #</u> | <u>Title</u>   | <u>Instructor</u>                    |
|------------------------|-----------------|--|--------------------------------------|
| <u>DAY TWO</u>         |                 |  |                                      |
| 1:00-1:20              | 1               | Training to Train  | MARTON                               |
| 1:30-2:30              | 2               | Practicum I in Using Logical Framework                                 | MARTON/POSNER/<br>HUGHES/CUDNEY/WREN |
| 2:30-2:40-Coffee Break |                 |  |                                      |
| 2:40-3:55              | 3               | Practicum II in Logical Framework Development                          | MARTON/POSNER/<br>CUDNEY/WREN/HUGHES |
| 3:55-4:00-Break        |                 |  |                                      |
| 4:00-5:20              | 4               | Introduction to the Worksheets for PAR Process Implementation (Part I) | POSNER/COWLES                        |

**BEST  
AVAILABLE**

## Exhibit II-1 (Cont.)

|                        | <u>Module #</u> | <u>Title</u>                                | <u>Instructor</u> |
|------------------------|-----------------|---|-------------------|
| <u>DAY THREE</u>       |                 |   |                   |
| 1:00-1:20              | 1               | Training to Train                           | MARTON            |
| 1:20-2:30              | 2               | Evaluation of Project Performance           | POSNER            |
| 2:30-2:35-Break        |                 |   |                   |
| 2:35-3:35              | 3               | Part II - Worksheets - Performance Analysis | POSNER/MARTON     |
| 3:35-3:45-Coffee Break |                 |   |                   |
| 3:45-4:35              | 4               | Practicum in the Use of the PAR Form        | POSNER/MARTON     |
| 4:35-4:45-Break        |                 |   |                   |
| 4:45-5:20              | 5               | Analytic Critique of PAR Responses          | MARTON/POSNER     |

## Exhibit II-1 (Cont.)

DAY FOUR - AGENDA

|             | <u>MODULE #</u> | <u>Title</u>                         | <u>Instructor</u> |
|-------------|-----------------|--------------------------------------|-------------------|
| 1:00 - 1:05 | 1               | Introduction                         | Marton            |
| 1:05 - 1:25 | 2               | Using the PAR -<br>Prepare Draft PAR | Posner            |
| 1:25 - 2:25 | 3               | Individual's Prepare<br>GPOI's.      |                   |
| 2:25 - 2:35 |                 | Coffee Break                         |                   |
| 2:35 - 3:20 | 4               | The Mission Evaluation<br>Review.    | Rosenberg         |
| 3:20 - 4:20 | 5               | MER (practicum in<br>four groups).   |                   |
| 4:20 - 4:25 | Cof             | Coffee Break                         |                   |
| 4:25 - 5:00 | 6               | Panel Discussion on MER              |                   |
| 5:00 - 5:20 | 7               | Group inputs to Friday<br>Program.   | Marton            |

## Exhibit II-1 (Cont.)

DAY FIVE - AGENDA

|             |              |   |   |
|-------------|--------------|---|---|
| 1:00 - 1:10 | (10 minutes) | Agenda  | MARTON                                      |
| 1:10 - 1:40 | (30 minutes) | The Institutionalization<br>Process                                       | POSNER                                      |
| 1:40 - 2:20 | (40 minutes) | Institutionalization --<br>An open symposium                              | Panel:ROSENBERG<br>COWLES, MARTON<br>POSNER |
| 2:20 - 2:40 | (20 minutes) | Coffee  |   |
| 2:40 - 3:00 | (20 minutes) | Development of Objectively<br>Verifiable Indicators                       | ROSENBERG                                   |
| 3:00 - 4:00 | (60 minutes) | Work shop session.<br>Development of Objectively<br>Verifiable Indicators | Panel.                                      |
| 4:00 - 4:30 | (30 minutes) | AID/W and the PAR   | ROSENBERG                                   |
| 4:30        |              | Closing Seminar   | POSNER/ROSENBERG<br>COWLES/MARTON           |

served as models for the new trainees to emulate. The instructors from AID/W included: Robert Hubbell, Herbert Turner, Calvin Cowles, Arthur Hughes, James Cudney, and William Wren.

The primary audience for the AID/W training was the group of approximately fourteen officers who would teach PES at the cluster training sessions and on-site Mission installations. Twenty-seven trainees participated in the training session including 16 from the five AID/W regional bureaus, two newly appointed Deputy Directors of Missions for Ghana and Paraguay, two Mission Evaluation Officers, two from AID/W evaluation staff, and five project-management trainees attending in anticipation of a project management training program that would be coordinated with PES training in the USAID Missions.

Informal feedback indicated success in producing the desired output of motivating and preparing AID/W personnel for their subsequent roles. That is, AID/W trainees, at the end of training, indicated that they were convinced that PES was valuable and were confident that they could fulfill their roles in installing PES in USAID Missions.

## Task 2: Cluster Training Sessions

Four regional conferences were scheduled in FY'71: San Salvador (September 9-11, 1970), Asuncion (November 11-18, 1970), Bangkok (November 30-December 2, 1970), and Addis Ababa (December 7-9, 1970). The San Salvador Conference, which preceded this contract, was used to "field test" the PES concepts rather than as a cluster training session. The remaining conferences were used to train Mission Evaluation Officers and other key USAID officers in the use of the project evaluation system at regional "cluster training" sessions.

The objective of each cluster training conference was to give Mission Evaluation Officers conviction about the value of PES, competence in using it, and confidence in their ability to institutionalize it in their Missions with the help to be provided by AID/W. Subsequent events indicate that the cluster training was both necessary and sufficient to achieve these objectives in most Missions. The cluster training provided a "head start" in the Missions to prepare for on-site assistance after the conference.

The curricula of the three cluster training sessions varied only marginally. The sessions lasted two and one-half days each. The detailed agendas of the three sessions appear in Exhibits II-2, II-3, and II-4.

The training approach at the cluster training sessions was a calculated mixture of formal presentation, moderated workshops, and plenary sessions. Formal presentations were used to convey new concepts and examples. Moderated workshops divided the trainees into small groups and provided opportunities for trainees to practice using PES concepts and the training materials from AID/W. A fictionalized case study, the Kenya Radio-Correspondence Education Project, was used to illustrate how PES should be used and taught. Plenary sessions permitted USAID trainees to discuss the strengths and weaknesses they perceived in PES for use in their

EXHIBIT II-2  
CLUSTER TRAINING AGENDA  
EVALUATION CONFERENCE FOR MISSION PERSONNEL  
Asuncion, Paraguay -- November 18-20, 1970

DAY ONE - PROJECT DESIGN

| <u>Module</u> | <u>Time</u>  | <u>Minutes</u> | <u>Topic</u>   | <u>Presenter</u> |
|---------------|--------------|----------------|--|------------------|
| 1             | 8:45 - 9:00  | ( 15)          | Mission Welcome  | Cody             |
| 2             | 9:00 - 9:30  | ( 30)          | Overview of Project Management and Evaluation                              | Kontos           |
| 3             | 9:30 - 9:45  | ( 15)          | Conference Plan  | Hughes           |
|               | 9:45 -10:00  | ( 15)          | Coffee   |                  |
| 4             | 10:00 -11:00 | ( 60)          | Project Concepts and the Logical Framework -- GPOI                         | PCI              |
| 5             | 11:00 -12:30 | ( 90)          | Workshop A - Applying Logical Framework                                    |                  |
|               | 12:30 - 2:00 | ( 90)          | Lunch  |                  |
| 6             | 2:00 - 2:30  | ( 30)          | Presentation of Reporters, Workshop A                                      |                  |
| 7             | 2:30 - 3:00  | ( 30)          | Presentation - Using Project Manager Evaluation Worksheets, Part I         | PCI              |
| 8             | 3:00 - 5:30  | (150)          | Workshop B - Project Manager Evaluation Worksheets Part I - Project Design |                  |

## Exhibit II-2 (Cont.)

DAY TWO -- EVALUATION OF PERFORMANCE

| <u>Module</u> | <u>Time</u>  | <u>Minutes</u> | <u>Topic</u>   | <u>Presentor</u> |
|---------------|--------------|----------------|--|------------------|
| 1             | 8:45 - 9:45  | ( 60)          | The Mission-Useful<br>Evaluation Process   | PCI              |
|               | 9:45 -10:00  | ( 15)          | Coffee   |                  |
| 2             | 10:00 -10:30 | ( 30)          | The Role of the<br>Mission Evaluation<br>Officer   | Hughes           |
| 3             | 10:30 -11:15 | ( 45)          | AID/W Assistance<br>for Mission Installation   | Hughes           |
| 4             | 11:15 -12:15 | ( 60)          | Panel Discussion on<br>Project Management<br>and Evaluation in<br>USAID                              |                  |
|               | 12:15 - 2:00 | (105)          | Lunch  |                  |
| 5             | 2:00 - 2:45  | ( 45)          | Project Management -<br>The Responsibilities<br>and Authorities of<br>the Project Manager            | Hughes           |
| 6             | 2:45 - 3:15  | ( 30)          | Evaluation of Project<br>Performance   | PCI              |
| 7             | 3:15 - 5:15  | (120)          | Workshop C -- Worksheets<br>Part II - Performance<br>Analysis and Preparing<br>for Evaluation Review |                  |

## Exhibit II-2 (Cont.)

DAY THREE - REVIEW AND REPORTING

| <u>Module</u> | <u>Time</u>  | <u>Minutes</u> | <u>Topic</u>  | <u>Presenter</u> |
|---------------|--------------|----------------|---|------------------|
| 1             | 8:00 - 9:30  | ( 90)          | Workshop D - Mission Evaluation                     |                  |
|               | 9:30 - 9:45  | ( 15)          | Coffee  |                  |
| 2             | 9:45 -10:15  | ( 30)          | AID/W Role--Revised PAR Form and Reporting Function | Hughes           |
| 3             | 10:15 -10:45 | ( 30)          | Workshop E - Preparation of PAR, the Report         |                  |
| 4             | 10:45 -11:00 | ( 15)          | Hand Out Questionnaire                              |                  |
| 5             | 11:00 -12:30 | ( 90)          | Open Forum  |                  |
|               | 12:30        |                | Adjourn   |                  |

EXHIBIT II-3  
EA/NESA/VN CLUSTER TRAINING  
EVALUATION CONFERENCE FOR MISSION PERSONNEL  
BANGKOK, THAILAND - NOV. 30, DEC. 1, 2, 1970

AGENDA

Day One - Project Design

| <u>Module</u> | <u>Time</u>   | <u>Minutes</u> | <u>Topic</u>  | <u>Presenter</u>                    |
|---------------|---------------|----------------|---|-------------------------------------|
| 1             | 8:45 - 9:00   | ( 15)          | Mission Welcome   | Rey Hill, Director<br>USOM/Thailand |
| 2             | 9:00 - 9:30   | ( 30)          | Overview of Project<br>Management and Evaluation                                    | Robert Hubbell                      |
| 3             | 9:30 - 9:45   | ( 15)          | Conference Purpose  | PCI                                 |
|               | 9:45 - 10:00  | ( 15)          | Coffee  |                                     |
| 4             | 10:00 - 10:50 | ( 50)          | Project Concepts and<br>the Logical Framework,<br>GPOI                              | PCI                                 |
| 5             | 10:50 - 12:30 | ( 100)         | Workshop A - Applying<br>Logical Framework  |                                     |
|               | 12:30 - 2:15  | ( 105)         | Lunch   |                                     |
| 6             | 2:15 - 2:45   | ( 30)          | Presentation of<br>Reporters, Workshop A  |                                     |
| 7             | 2:45 - 3:15   | ( 30)          | Objective Verification  | PCI                                 |
|               | 3:15 - 3:30   | ( 15)          | Coffee  |                                     |
| 8             | 3:30 - 5:10   | ( 120)         | Workshop B - Project<br>Manager Evaluation<br>Worksheets Part I -<br>Project Design |                                     |

## Exhibit II-3 (Cont.)

Day Two - Evaluation of Performance

| <u>Module</u> | <u>Time</u>  | <u>Minutes</u> | <u>Topic</u>   | <u>Presentor</u> |
|---------------|--------------|----------------|--|------------------|
| 1             | 8:30 - 8:50  | ( 20)          | Project Management:<br>The Responsibilities and<br>Authority of the Project<br>Manager | Robert Hubbell   |
| 2             | 8:50 - 9:40  | ( 50)          | Plenary Discussion on<br>Project Management  |                  |
|               | 9:40 - 9:55  | ( 15)          | Coffee   |                  |
| 3             | 9:55 -10:15  | ( 20)          | The Mission-Useful<br>Evaluation Process   | PCI              |
| 4             | 10:15 -10:35 | ( 20)          | The Role of the Mission<br>Evaluation Officer  | James Cudney     |
| 5             | 10:35 -10:55 | ( 20)          | AID/W Assistance for<br>Mission Installation   | Charles Elkinton |
| 6             | 10:55 -11:30 | ( 35)          | Plenary Discussion on<br>the Evaluation Process  |                  |
| 7             | 11:30 -12:00 | ( 30)          | Introduction to Parts II<br>and III of Worksheets                                      | PCI              |
|               | 12:00 - 2:00 | (120)          | Lunch  |                  |
| 8             | 2:00 - 4:00  | (120)          | Workshops Parts II and<br>III (coffee in workshops)                                    |                  |
| 9             | 4:00 - 5:00  | ( 60)          | Plenary Discussion on<br>Parts II and III of Work-<br>sheets                           |                  |

## Exhibit II-3 (Cont.)

Day Three - Review and Reporting

| <u>Module</u> | <u>Time</u>  | <u>Minutes</u> | <u>Topic</u>   | <u>Presentor</u> |
|---------------|--------------|----------------|--|------------------|
| 1             | 8:30 - 8:45  | ( 15)          | Instructions to Workshop Groups                      | PCI              |
| 2             | 8:45 -10:15  | ( 90)          | Workshop - Mission Review                            |                  |
| 3             | 10:15 -10:30 | ( 15)          | Coffee   |                  |
| 3             | 10:30 -10:50 | ( 20)          | AID/W Role - Revised PAR Form and Reporting Function | Richard Birnberg |
| 4             | 10:50 -11:50 | ( 60)          | Workshop - Preparation of the PAR                    |                  |
| 5             | 11:50 -12:05 | ( 15)          | Questionnaire  |                  |
| 6             | 12:05 - 1:00 | ( 55)          | Open Forum<br>Adjourn                                |                  |

## EXHIBIT II-4

AGENDACONFERENCE ON PROJECT DESIGN AND EVALUATIONADDIS ABABA, ETHIOPIA, DEC. 7, 8, 9, 1970DAY ONE - CLARIFICATION OF PROJECT DESIGN

December 7, 1970, Monday

| <u>Module</u> | <u>Time</u> | <u>Minutes</u> | <u>Topic</u>                  | <u>Presenter</u> |
|---------------|-------------|----------------|-------------------------------|------------------|
| 1             | 8:30        | (15)           | Mission Welcome               | USAID - Ernst    |
| 2             | 8:45        | (10)           | Administrative Arrangements   | USAID            |
| 3             | 8:55        | (30)           | Overview Aid Evaluation       | Kontos           |
| 4             | 9:25        | (20)           | Summary of Conference         | PCI              |
|               | 9:45        | (15)           | Coffee                        |                  |
| 5             | 10:00       | (50)           | Logical Framework of Projects | PCI              |
| 6             | 10:50       | (120)          | Logical Framework - Workshop  | 4 Workshops      |
|               | 12:50       | (90)           | Lunch                         |                  |
| 7             | 2:20        | (30)           | Objective Verification        | PCI              |
| 8             | 2:50        | (90)           | Workshops - Part I            | 4 Workshops      |
| 9             | 4:20        | (30)           | Report from Workshops         | Rapporteurs      |
| 10            | 4:50        | (10)           | Summary of Day's Proceedings  | Herrick          |
|               | 5:00        |                | Work Day Ends                 |                  |

BEST  
AVAILABLE

II-17

Exhibit II-4 (Cont.)

DAY TWO - EVALUATION PROCESS

December 8, 1970, Tuesday

| <u>Module</u> | <u>Time</u> | <u>Minutes</u> | <u>Topic</u>   | <u>Presenter</u> |
|---------------|-------------|----------------|--|------------------|
| 1             | 8:30        | (30)           | Role of Mission Evaluation                                     | PCI              |
| 2             | 9:00        | (30)           | Mission Installation<br>Assistance--and Mission<br>Preparation | Herrick          |
| 3             | 9:30        | (30)           | Introduction to Part II &<br>III of Work Sheets                | PCI              |
|               | 10:00       | (15)           | Coffee   |                  |
| 4             | 10:15       | (135)          | Workshop Part II & III   | 4 Workshops      |
|               | 12:30       | (120)          | Lunch  |                  |
| 5             | 2:30        | (60)           | Panel Discussion on Work-<br>shop                              | Panel            |
|               | 3:30        | (15)           | Coffee   |                  |
| 6             | 3:45        | (45)           | The Mission - Useful<br>Evaluation Process                     | PCI              |
| 7             | 4:30        | (20)           | Summary of Day's Proceed-<br>ings                              | Herrick          |
|               | 4:50        |                | Work Day Ends  |                  |

T. 11  
11:00

## Exhibit II-4 (Contd.)

DAY THREE - EVALUATION REVIEW AND REPORTS

December 9, 1970

| <u>Module</u> | <u>Time</u> | <u>Minutes</u> | <u>Topic</u>                                     | <u>Presenter</u> |
|---------------|-------------|----------------|--|------------------|
| 1             | 8:30        | (10)           | Introduction                                     | PCI              |
| 2             | 8:40        | (120)          | Workshop - Mission Review (Coffee in Workshop)   | 4 Workshops      |
| 3             | 10:30       | (20)           | PAR as a Report                                  | Cowles           |
| 4             | 10:50       | (45)           | PAR Workshop                                     | 4 Workshops      |
| 5             | 11:35       | (25)           | Questionnaire                                    | PCI              |
| 6             | 11:50       | (70)           | Recapitulation of Conference with Open Questions | Panel            |
|               | 1:00        |                | Conference Ends                                  |                  |

Missions. More workshops and fewer formal presentations were used in Bangkok and Addis Ababa because trainees in Asuncion indicated that more workshops and discussion would have been welcome there.

The instructors at each cluster session included PCI representatives, Regional Evaluation Officers from AID/W, and other AID/W evaluation staff. AID/W personnel introduced the PES approach, conducted sessions on AID/W use of the PAR, sessions on project management, question sessions, led workshop sessions for small groups of trainees, and planned for on-site assistance visits. AID/W Evaluation Officers reassured USAID personnel, formally and informally, of the sincere intention by AID/W to foster "Mission-useful evaluations." The informal "lobbying" by AID/W personnel made a major contribution to the favorable response by USAID trainees. USAID attendees were receptive to the improvement made at AID/W's initiative, presumably because it was based on extensive consultation with USAIDs, oriented to the needs of USAIDs, and AID/W assistance for implementation would be provided to the USAIDs.

PCI personnel participated in each cluster training session. They presented the PES concepts, explained the evaluation process, led workshop sessions, and were available for questions at formal and informal sessions. The cluster training helped PCI representatives anticipate problems that would be encountered by Mission Evaluation Officers in their Missions and the kind of help they would need during on-site assistance visits.

Eighty-two USAID trainees from 36 USAID Missions participated in the three cluster training sessions. Twenty trainees were identified as Mission Evaluation Officers. All major Missions, including Vietnam, were represented (except the Missions represented earlier at San Salvador). Usually, the designated Mission Evaluation Officer and one

other USAID representative attended. It was hoped that these individuals, working together at their Mission, could get a head start on creating a "critical mass" of Mission support prior to arrival of the AID/W evaluation team. (As a minimum, it was expected that they could identify the Mission staff who should comprise the "critical mass.")

The USAID trainees learned a great deal from one another as well as from PCI and AID/W instructors. There was a lot of "shop-talk" about experience evaluating institution-building projects, bringing host country personnel into evaluation, and the proper role for AID/W in evaluation. Mission Evaluation Officers (MEOs) used the session to create a "grapevine" for sharing information about experiences with PES. The general consensus was that AID/W was playing a helpful role in evaluation, and USAIDs welcomed the assistance even in Missions that were traditionally jealous of their autonomy from AID/W.

The reaction of trainees to the PES concepts and to the cluster training was generally positive. In each of the three sessions there was one articulate skeptic who wanted more evidence that PES would prove useful. Each of the skeptics later converted to strong advocacy of PES based on subsequent experiences in their own Mission. At the end of each conference, the participants anonymously responded to questionnaires assessing the utility of the evaluation concepts and the cluster training session. The questionnaire responses indicate that trainees thought:

- PES would be useful for their Missions;
- The most useful tools were the basic concept of the Logical Framework (GPOI); the Logical Framework matrix; and the Mission Evaluation Review;
- The trainees were generally confident they could install PES in their Missions with the planned week of AID/W assistance;
- The cluster training was useful, with the moderated workshops being the preferred mode for learning (only asked in Asuncion).

Responses to questionnaires by trainees at the cluster sessions are summarized in Appendix A.

Participants in the cluster training sessions also made the following suggestions:

- Emphasize the implications of the PES concepts for project design and programming, as well as to evaluation.
- Since the PES process will reveal the need for many changes in projects, it is essential to make PROP revisions easier.
- The instruction materials and evaluation tools should be improved, based on field experience with these materials.

Task 3: On-site Assistance to USAID Missions

One week of assistance from an AID/W evaluation team was offered to all USAID Missions to help them institutionalize a Mission-useful evaluation process. This was based on the judgment that changing long established behavior patterns by USAID personnel would require more than a Manual Order, written material from AID/W, and cluster training sessions. AID/W had to help the Missions if the result was to be important change in evaluation, rather than marginal improvements in paper-shuffling. The AID/W evaluation team normally included a PCI consultant and one or more AID/W evaluation officers. The 33 Missions visited are listed in Exhibit 2-5.\*

There were deviations from the normal level of effort in on-site assistance. In Brazil, one week was spent in Rio de Janeiro and a second week used for training in Recife. In Nigeria, a second week was used to evaluate projects in the Northern and Mid-Western regions. AID/W personnel installed the evaluation system without PCI assistance in Vietnam, Laos, Costa Rica, and the East Asia Regional Economic Development (RED) Mission. The ROCAP Mission in Guatemala received assistance from PCI under a separate contract. Assistance to Morocco was deferred to FY'72. The African ADO Missions participated in the cluster training sessions and were invited to attend Mission installations in nearby countries at their own convenience. The EAORA Mission and the Kenya Mission were trained in a single week in Nairobi. USAID/Chile and USAID/Uruguay received no on-site assistance.

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\*All references to 33 visits count Recife and Rio de Janeiro as separate "Mission" visits.

EXHIBIT II-5  
LIST OF MISSIONS VISITED

AFRICA

- |                     |             |
|---------------------|-------------|
| 1. Congo (Kinshasa) | 6. Liberia  |
| 2. EAORA            | 7. Nigeria  |
| 3. Ethiopia         | 8. Tanzania |
| 4. Kenya            | 9. Tunisia  |
| 5. Ghana            | 10. Uganda  |

EAST ASIA

1. Indonesia
2. Korea
3. Philippines
4. Thailand

LATIN AMERICA

- |                       |                             |
|-----------------------|-----------------------------|
| 1. Bolivia            | 8. Paraguay                 |
| 2. Dominican Republic | 9. Peru                     |
| 3. Ecuador            | 10. Colombia                |
| 4. El Salvador        | 11. Nicaragua               |
| 5. Guyana             | 12. Guatemala               |
| 6. Honduras           | 13. Brazil (Rio de Janeiro) |
| 7. Panama             | 14. Brazil (Recife)         |

NESA

1. Afghanistan
2. India
3. Nepal
4. Pakistan
5. Turkey

The Regional Evaluation Officers began preparation for on-site assistance at the cluster training sessions. Mission representatives discussed the proposed timing of the visit, the projects to be evaluated, the preparations expected before the team arrived, and the problems for institutionalizing PES in the Mission. Joint planning at the cluster-training sessions facilitated preparation by the MEO and by the AID/W evaluation team emphasizing the objective of the trip was training to establish a Mission-useful Project Evaluation System.

The AID/W evaluation team prepared further for Mission installations by reading documentation about the projects to be evaluated, plus talking with the desk officer and the project backstops. These briefings alerted the visitors to imminent personnel changes and the issues that AID/W thought might influence the installation of PES. The AID/W and PCI team members planned the Mission programs in detail, allocating responsibilities to all team members.

A typical one week Mission installation began on Sunday when the AID/W team arrived. On Sunday, Mission facilities were checked, plans reconfirmed, and last-minute adjustments made. (A normal program for the rest of the week is described in Exhibit II-6.) Monday morning the AID/W team met with the Mission Director, Deputy, Program Officer, and Mission Evaluation Officer to (1) clarify the objectives and the program for the week, and (2) learn the objectives of the Mission Director's program in order to "customize" the PES to make it a useful tool to each individual Mission Director. For example, one Director made it clear he thought every project should emphasize institution building; another was impatient with project reviews that presented only a plan without permitting him to see the alternatives; another Director was concerned that PROPs for sound projects were disapproved due to verbosity and fuzzy presentation; several Directors were eager to use the AID/W team to improve the project designs of important projects to ensure that the projects would pass muster in AID/W.

The projects selected for evaluation were changed at the last minute in several Missions. Sometimes the change was to increase the learning value for the Mission by substituting an important project for a terminating project. One Director substituted a project where an important decision was due and there was a need for better analysis. Many Missions solicited and received help in project design for projects in addition to the two selected to demonstrate PES. The 64 projects used as demonstrations are listed by Mission in Exhibit II-7.

The AID/W evaluation team typically spent Monday afternoon with the USAID project managers and their supervisors. In most Missions the Director, Deputy, and other top managers all attended. Some contractors were usually included, but only rarely were host country or other donor representatives present for the Monday presentations. The Director usually started the meeting, assuring that the evaluation review would be for replanning, and not an inquisition. An AID/W evaluation officer usually followed, providing background and a frame of reference for PES. A PCI representative presented the concepts of PES and the Logical Framework. Most Missions used the Kenya Radio-Correspondence Project for workshops to give USAID managers practice using PES. The role of the MEO and the PAR were described and questions entertained. PCI used visual aids, including slides, overhead transparencies, and flip charts, depending on the circumstances and the individual. Each Mission received hard copy of PCI presentations in the form of PCI "Blue Books."

Informal feedback suggests that many USAID managers left Monday evening confused by the presentations; there were too many new concepts for some people to absorb, while others found the material so obvious that they asked: "What's new?" The fictionalized Kenya Radio-Correspondence

EXHIBIT II-6  
NORMAL PROGRAM FOR  
ONE WEEK "ON-SITE" ASSISTANCE TO A MISSION

Day 1, Morning  
(1 hour)

- Appointment with Mission Top Management  
Attendees: Mission top management, program office, MEO  
Purpose: To identify together with Mission top management how evaluation system should be "customized" to meet Mission needs.  
Comments: Scheduling this meeting early permits "customizing" the presentations in the afternoon and later in the week. Estimated time: 1 hour.

Day 1, Afternoon  
(4 hours)

- Project Evaluation - Concepts  
Attendees: All Mission professional personnel (Managers at project level, division level, Mission level; program officers, MEO, controller, Executive Officer, and other staff officers such as supply advisor and training officer.  
Purpose: To teach the key concepts to those who must use them in evaluation and evaluation reviews.  
Comments: The agenda is attached. Workshops ideally consist of 5 people; 10 is maximum. If there are many attendees, provide separate rooms for the workshop sessions. Each workshop should be led by a field team member or a Mission person previously trained in Washington and Cluster Training. Schedule extra workshops later in the week rather than overcrowding the Monday workshops. The room for presentations to the whole group should be arranged for collegial discussion if possible. A flip chart easel and overhead projector will be helpful, if available. Please advise AID/W about their availability.

## Exhibit II-6 (Cont.)

- Day 2, Morning - Begin Evaluation of Project #1  
Attendees: MEO, Project #1 Management Team; (optional: Project #2 team as observers).  
Purpose: To help Mission personnel master evaluation concepts by using them to improve a real project.  
Comments: The AID/W field team will lead in Project #1. The MEO and Project #2 team will learn by observing.
- Day 2, Afternoon (1 hour) - Project Management Concepts  
Attendees: All Mission personnel who manage projects or supervise Project Managers. Interested staff personnel are also welcome. [The Project #2 team will begin evaluation of its project with the MEO and will receive guidance on project management concepts later.]  
Purpose: To present a few key concepts of project management to those who must use them. Distribute Project Management Handbook.  
Comments: The AID/W member of the field team will present project management concepts and answer questions. The PCI (Practical Concepts Incorporated) member will backstop the MEO in evaluating Project #2.
- Day 3, Morning - Continue Evaluation of Projects #1 and #2.  
Attendees: Project #1 Evaluation led by AID/W Evaluation Officer, Project #2 led by MEO. PCI backstops.  
Purpose: A satisfactory project design should be completed and analysis of project performance begun for both projects.
- Day 3, Afternoon (1 1/2 hours) - Project Management Workshop  
Attendees: Project Managers and supervisors  
Purpose: To permit project managers to adapt concepts presented previous day to their own situation.  
Comments: Discussion of nature of Project Manager

Exhibit II-6 (Cont.)

working relationships with host, other donors, AID/W, USAID contractor. If mission is small, presided over by AID/W member. If large, subdivide and find mission chairmen.

Day 4, Morning

- Continue Evaluation of Project #1 and #2  
Attendees: Project #1 Evaluation is led by AID/W evaluation officer, Project #2 led by MEO. PCI backstops.  
Purpose: Both project teams will complete their evaluation and plan presentations to a Mission Evaluation Review (MER). There may be a short written presentation by the teams for reviewers on the MER.

Day 4, Afternoon  
(1 hour)

- Project Management Handbook  
Attendees: Project Managers and supervisors. [Project Teams #1 and #2 will finish inputs to MER if not already finished.]  
Purpose: To acquaint Project Managers with the reference usefulness of the handbook.  
Comments: Managers will ask questions on parts of handbook that are unclear. AID/W Chairman will call attention to Key Sections.

Day 5, Morning  
(3 1/2 hours)

- Mission Evaluation Reviews #1 and #2  
Attendees: Project #1 Evaluation Review will be attended by people with an interest in that project. Similarly for Project #2. Normally attendees will include Mission level management, program officer, division chief, project manager, chief-of-party,

## Exhibit II-6 (Cont.)

and MEO. There may be others from related projects or offices.

Purpose: To demonstrate that application of the concepts described Monday can bring useful results to Mission. MER's will review two projects and decide on "Actions Proposed and Actions Requested" in the next year to improve the project.

Comments: MER #1 will be led by the AID/W field team; allow 90 minutes followed by 30 minute break. MER #2 will be led by the MEO; allow 90 minutes. MEO will be responsible for reporting on results of MER on both projects.

Day 5, Afternoon  
(1 hour)

- Debriefing with Mission Top Management

Attendees: Mission Director will determine attendees.

Purpose: The Mission Director will receive feedback from the AID/W field team about what actions are necessary to institutionalize a Mission-useful evaluation system.

Comments: Reporting to AID/W on Project #1 and #2 will be left entirely to the Mission.

AGENDA FOR PRESENTATIONS ON PROJECT EVALUATION CONCEPTS TO THE MISSION

Normal Timing: 4 hours in the afternoon of Day One.

|  |            |
|--|------------|
| 1. Mission Introduction  | 5 minutes  |
| 2. Introduction by AID/W   | 10 minutes |
| 3. The Logical Framework for<br>Project Design and Eval-<br>uation (PCI) | 60 minutes |
| coffee   | 10 minutes |

Exhibit II-6 (Cont.)

- |   |            |
|---|------------|
| 4. Workshop -- Using the Logical Framework      | 80 minutes |
| 5. Evaluation as a Mission-Useful process (PCI) | 60 minutes |
| 6. The Mission Evaluation Officer               | 5 minutes  |
| 7. The Project Appraisal Report (PAR)           | 10 minutes |

## EXHIBIT II-7

PROJECTS EVALUATED DURING  
MISSION INSTALLATIONSAFRICACongo

Kinshasa Brigade Mobile Sub-Project (PSD)

East Africa Office of Regional Activities

Cereal Grains Research Project

Ethiopia

Customs Improvement

Range Improvement

Kenya

Range Water Development Project

Vihiga Special Rural Development Project

Ghana

Faculty of Agriculture - University of Ghana

National Agricultural Planning

Liberia

Government Organization

Monrovia Consolidated School System

Nigeria

Amadu Bello University - Faculty of Agriculture

Amadu Bello University - Non-degree Schools

Port Harcourt Comprehensive Secondary Schools

Rubber Development

Tanzania

Masai Development Project

Technical Education

Tunisia

Agricultural Economics Research and Planning/Ministry of Agriculture

Food Fortification and Nutrition/Lysine Study

Uganda

Tororo Girls Comprehensive Secondary School

Agriculture Credit (Sub-project of Agricultural Coop Project)

EAST ASIAIndonesia

Family Planning

Higher Agriculture Education

Korea

Korean Development Institute

Family Planning

Philippines

Feed Grains (Sub-project of Agricultural Services "Umbrella" Project)

Family Planning

Thailand

Tambol Police Station (Sub-project of Public Safety Project)

Agricultural Extension

NEAR EAST - SOUTH ASIA (NESA)Afghanistan

National Agricultural Development Services

National Agricultural Development-Extension

India

Nutrition

Agricultural Production (Andhra Pradesh Sub-project)

Nepal

Feed Grain Technology

Family Planning Project

Pakistan

Summer Science Institute - Advancement of Science and Technology Training

Agricultural Research - East Pakistan

Turkey

On-farm Water Management

Development Statistics Project

LATIN AMERICA

Bolivia

Cereals Development

Institute of Public Administration

Brazil (Rio de Janeiro)

Economics Education

Agricultural Production

Brazil (Recife)

Fish Culture

Public Administration

Colombia

Legal Education

Agricultural Education

Dominican Republic

Managed Agricultural/Credit Loan

Tax Administration

Ecuador

Family Planning

Agricultural Production

El Salvador

Education Development

Guatemala

Educational Development - Primary

Credit Cooperatives

Guyana

Diversification and Development of Agriculture

Tax Administration

Honduras

Civic Development Leadership Training

Nicaragua

American Institute for Free Labor Development - Manpower Planning,  
Development, and Utilization

Panama

Fresh Water Fish and Shrimp Culture

Develop Processed Food Industry for Panama

Agricultural Development and Small Farm Improvement Loan

LATIN AMERICA, cont.

Paraguay

Livestock Development

Census Project

Peru

Institute of Public Administration

Graduate School of Business Administration

Project was less useful in Mission installations than it had been for AID/W and cluster training sessions. In the earlier sessions there was more time for discussion, trial and error, and for learning from a case study that retained the complexity of real world; for a one hour workshop in Mission installations the Kenya case raised too many issues and too often failed to resolve them.

The end result of the Monday presentations was to help the best prepared managers to articulate clearly PES principles that were consistent with their experience and insight based on years of experience. But many technicians and some managers were lost temporarily, some charging excessive complexity and others criticizing oversimplistic thinking.

Tuesday through Thursday were used to help the Mission evaluate two projects. The projects were selected for learning value - chosen from two important divisions, key people and data available, and non-trivial to the Mission. Each project was evaluated by a project team consisting of an MEO and the people responsible for the project. The project team was responsible for evaluating its own project and presenting its findings to a Mission Evaluation Review attended by the Director and other interested parties. The MEO usually ran one evaluation supported by the PCI consultant while an AID/W evaluation officer ran the other evaluation. A typical evaluation began with design clarification using the Logical Framework. Defining an appropriate project purpose was the starting point and forced discussion of the realistic expectations for development impact directly related to this project. Usually the outputs, inputs, and goal of the project were supplied in that order and objectively verifiable indicators selected at all levels - especially at the purpose and output levels. Means of verification often received scant attention but assumptions were dealt with at length. There was much discussion about assumptions - the conditions outside the project that were necessary for the project to achieve the results expected at each level.

Once the terminal conditions were fully described in a Logical Framework, project managers usually supplied "interim targets" and "actual performance to date" with little difficulty. Discussion then shifted to re-planning implications. What needed to be done now for the project to achieve its purpose? What was important enough to merit discussion with the Mission Director?

The results of the project teams' deliberations were documented in slightly different forms in different Missions. Invariably the project design was summarized in a Logical Framework. Usually the actual status was compared to interim targets for progress toward the project purpose (end-of-project status) and progress toward the expected output targets. Sometimes an "issues paper" or an agenda for the Evaluation Review was used to focus discussion on decisions needed. Sometimes the PAR was used to summarize progress to date and actions required.

The evaluation review usually lasted 90 minutes and was moderated by the MEO or a substitute from the AID/W evaluation team. The MEO moderated the review ensuring that the three or four key issues were brought to resolution and that important issues did reach the attention of the Review panel. The Director, Program Officer, and other interested parties were freed of managing the meeting so they could address their attention to issues of substance. They were usually charged with maintaining a "collaborative process" as problems surfaced. Directors probed for replanning alternatives, for evidence, and for recommendations rather than assigning blame for problems in the project. The evaluation reviews usually began by reviewing the project design. Reading the entire Logical Framework and summary of progress to date was done in the first ten minutes of many reviews making lengthy presentations unnecessary. In the best managed reviews discussion moved from issue to issue in an orderly fashion resolving all problems on the agenda. Usually the assumptions in the Logical Framework resulted in most of the discussion. In some cases the Logical Framework clarified that the project manager misunderstood the Director's priorities or that the project was not well thought out.

Several project teams concluded that their projects were unlikely to accomplish anything important as they were presently directed; as an alternative to termination of the project, they usually proposed modifications that would make the project accomplish a meaningful purpose. Decisions at the evaluation review resulted in assignments for specific people to follow-up collecting information, consulting with the host government, altering the project, or reconfirming the previous project plan with greater clarity about the results expected.

On Friday afternoon a debriefing session was held with Mission Director, Deputy, Program Officer and Mission Evaluation Officer. The objective of the debriefing was to advise the Mission Director about what actions were required to institutionalize PES in his Mission. Often this meant clarifying what could be expected of the MEO, what support was required from the Director, the wisdom of including host country officials, the feasibility of using PES for complex programs or capital projects, the organizational placement of the MEO, and any other issues that concerned the Director.

The PAR report on the evaluations was deliberately left to the Mission in most cases. This emphasized the importance of the Mission-useful process and deemphasized the reporting to AID/W. In some Missions draft PARs were prepared before the Evaluation Review and revised as appropriate after the review. The PAR form was well received because it was so much shorter than the old PAR and was purged of redundancies. There was some resistance to various features of the PAR: the ratings of contractors, the lack of quantitative targets for purpose and goal, and the lack of a Logical Framework to provide a meaningful frame of reference for a reader of the PAR. USAID managers welcomed the emphasis on a Mission-useful evaluation process and most often enthusiastically endorsed the PAR once they were satisfied that important decisions in AID/W would be made as part of the normal budget cycle rather than based on the PAR report.

The outputs desired by the end of the week were:

1. PES customized to the needs of the Mission and its Director;
2. USAID managers informed about PES concepts and process;
3. The Mission Evaluation Officer skilled in basic concepts and equipped to play his role in the "customized" system;
4. Two successful evaluations completed, providing evidence that PES could be useful to that Mission with its current staff and projects.

This was an ambitious set of outputs, and much of the actual PCI on-site work was devoted to Number 1 -- defining how the system should be customized to meet Mission needs. Typical problems included: (1) turnover of key personnel (e.g., MEO about to leave); (2) technical assistance not important enough to warrant top-management attention; and (3) cynicism about AID/W's willingness to not "meddle" in Mission projects.

#### Task 4: AID/Washington Familiarization

The objective of AID/W familiarization sessions was to teach PES concepts to AID/W personnel, who must understand them to respond appropriately to PAR reports and to USAID personnel. Briefing sessions were held for the following groups:

|  |                    | <u>Attendees</u> |
|--|--------------------|------------------|
| East Asia and Africa Bureau                          | 12 November 1970   | 50               |
| Intensive training for evaluation staff (and others) | 12-14 January 1971 | 30               |
| Technical Assistance Bureau                          | 16 February 1971   | 60               |
| Africa Bureau  | 9 March 1971       | 30               |
| NESA and Latin America Bureaus                       | 23 April 1971      | 60               |

The heart of each AID/W familiarization session was presentation of PES concepts with examples of the use of the Logical Framework. The role of AID/W was always included. In the longer sessions, trainees practiced using the Logical Framework in small working groups analyzing the fictionalized Kenya Radio-Correspondence Education Project. There was always time for questions, but never sufficient to satisfy everyone who had questions.

The instructors for AID/W sessions included AID/W evaluation officers and PCI principals. Every session was modified to take advantage of recent experience from Mission installations and to related PES to the special concerns of the particular audience.

AID/W briefings only provided familiarity with PES concepts. The trainees from the AID/W sessions received training in PES concepts for two to four hours in large groups. Most questions suggested understanding of basic concepts and endorsement of the approach, but PCI is not aware of any good evidence about the extent of AID/W support for and understanding of PES concepts.

A subjective assessment by PCI, based on informal discussions, is that AID/W personnel are not yet well prepared to respond appropriately to PAR reports (except for evaluation officers who had intensive experience at Mission installations).

### Task 5: Other Assistance

Other assistance to AID for the installation of the Project Evaluation System has been primarily communication between PCI and the AID/W evaluation community about progress in Mission installations and recommendations for future efforts. This communication helped coordinate PCI efforts with other evaluation activities in the Agency. PCI has provided feedback in oral briefings for the Program Evaluation Committee (PEC) on January 20, 1971, and April 29, 1971. The Policy and Program Coordination Staff was briefed on May 20th, 1971, together with a broader audience of Washington personnel who had not attended other Washington briefings.

Each briefing summarized the progress and lessons learned to date installing the Project Evaluation System in AID/W and USAID Missions. At the January 20th briefing, there was considerable discussion about the turnover of Mission Evaluation Officers and how to ensure that every Mission would have trained evaluation personnel as trained MEOs moved away from the positions where they were originally trained. At the April 29th briefing, discussion focused on the emphasis on project design during on-site assistance, and the need for additional work in the future on means of verification and testing of causal relationships.

A progress report dated January 15, 1971, documented the work from October 12, 1970, to December 31, 1970, including the training of AID/W Evaluation Officers, three cluster training sessions, on-site assistance to the first four Missions, and the AID/W briefing for the East Asia and Africa bureaus. Another progress report was due one month after completion of on-site assistance; since the last on-site assistance visit to USAID/Guatemala took place the week of July 12 -19, 1970, the entire contents of that progress report was incorporated, with permission from AID, into this final report.

## B. ASSESSMENT OF LINKAGE FROM INPUTS TO OUTPUTS

A summary assessment of the input-to-output link in the PES installation is that the project design was sound and successfully carried out. It is useful to go beyond this summary assessment and explore components of performance that were sources of strengths and weaknesses in order to improve future evaluation efforts.

### 1. Installation of the PES in USAID Missions during FY 1971

The target of installing the Project Evaluation System in all important USAID Missions during FY 1971 has been achieved with minor exceptions. Guatemala and Costa Rica installations were deferred to July 1971. The only Missions that did not receive on-site assistance were special situations -- Morocco, Chile, and Uruguay.

### 2. The Sequence of Training Tasks

The sequence of training resulted in an orderly development of evaluation expertise in AID/W and USAID Missions. First PCI helped train AID/W Evaluation Officers to participate in cluster training sessions. Then these AID/W Evaluation Officers helped train Mission Evaluation Officers at cluster training sessions. Then MEO's, AID/W, and PCI jointly participated in on-site training for USAID managers.

The evidence of success in the first stage of AID/W Evaluation Officers was the successful performance by the trained Evaluation Officers during stages two and three, the cluster training and on-site assistance to the USAID Mission. The trained Evaluation Officers explained the Project Evaluation System, led working sessions, responded to friendly and unfriendly questions, corrected mistakes as they occurred, communicated their own conviction that the PES approach would be valuable to USAIDs and why, and were genuinely helpful to USAID evaluators in handling

important project evaluations. They served all these roles in a way that was generally well received by the USAID Missions.

The evidence of success of cluster training for Mission Evaluation Officers was similarly competent performance by Mission Evaluation Officers during the subsequent training for USAID managers.

USAID trainees performed well during the on-site assistance at their Missions. Exhibit II-8 summarizes PCI ratings of the effects of cluster training on participants. (Related comments on cluster training appear on page III-12.) The data underlying Exhibit II-8 (and subsequent Exhibits based on PCI ratings) come from PCI debriefing sheets that are summarized in Appendix B.

Exhibit II-8  
Follow-Up on Effectiveness  
of Cluster Training Sessions

- A. Did evidence indicate that conference participants returned with:
  - 1. A sound grasp of basic concepts and process of PES
  - 2. Detailed understanding of basic concepts and process of PES
  - 3. Favorable attitude toward PES

| NUMBER OF MISSIONS |       |    |                |
|--------------------|-------|----|----------------|
| Yes                | Mixed | No | No Information |
| 21                 | 5     | 3  | 4              |
| 9                  | 14    | 7  | 3              |
| 20                 | 6     | 1  | 6              |

- B. Did conference result in an important headstart before Mission visit?
  - 1. Speed of installation
  - 2. Success of installation

| Yes | No | No Information |
|-----|----|----------------|
| 19  | 10 | 4              |
| 17  | 13 | 3              |
| 18  | 11 | 3              |

### 3. AID/Washington Capability for In-house PES Training Created

As a direct result of the PES training described above, there are in AID/W, today, perhaps two dozen trained Evaluation Officers (although they sometimes have titles other than "Evaluation Officer") who are able to use the PES concepts and process appropriately and teach it to others. This capability makes it possible for AID/W to extend the use of the PES concepts and process without continuous recourse to outside contractors.

### 4. Timing of Evaluation Assistance within the Fiscal Year

The Fiscal Year 1971 cluster training sessions were held between Thanksgiving and Christmas 1970. On-site visits in each region followed the conferences with most visits concentrated in the spring; at that time USAID Missions were engrossed in the spring program budget submissions, which competed for the attention of important Mission managers. The optimal time for future conferences, from the point of view of timing subsequent on-site assistance, would be in early or mid-autumn so on-site assistance, if any, could be scheduled between conferences and the end of February.

### 5. Duration of Trips by AID/Washington Evaluation Teams

Trips of two to three weeks by AID/W evaluation teams proved most productive. The experience in the past year suggests that personal productivity decreases after two weeks in the field due to the physical and psychological demands of international travel and intensive one-week working visits in the Missions. When trips of four and five weeks were required, it was a hardship for the traveler, reducing productivity in the later weeks of the trip. It is recommended that trips in the future be scheduled in two- to three-week segments, that being the best balance of the non-trivial costs of international air travel against diminishing personal productivity over time.

#### 6. Level of Effort of One Week per Mission

One week of on-site assistance per Mission was adequate for most Missions, but inadequate for very large Missions. PCI representatives considered the time for on-site installation insufficient for successful PES institutionalization in eight out of 33 on-site visits. In the case of the eight Missions where there was too little time, three were very large Missions (India, Thailand, Brazil), and one was the EAORA Mission in Nairobi that was installed in the same week as the Kenya Mission. The other four Missions with insufficient time were Dominican Republic, Guyana, Peru, and Colombia.

#### 7. Coverage of Evaluation Training for AID/W and USAID Personnel

The coverage of training in PES was far from complete during FY 1971. Because of the rotation of personnel within AID, it is important to continue training both in AID/W and the field until all line managers have training in PES concepts and process sufficient for their jobs. Additional training is necessary (i) to reach those who have had no training, (ii) to upgrade the training of those rotated into new positions that require better command of the system, and (iii) to give remedial training in some cases.

The training in all USAID Missions provided one-half day of training for staff who would be involved in project evaluations. Usually, practical training was limited to those people involved in the two projects selected to demonstrate the PES approach. Other people sometimes sat as outside observers at the Evaluation Review, but often they were excluded to "avoid distorting the normal evaluation process" by adding an audience of outsiders. This approach minimized disruption of the Mission but left the MEO a heavy responsibility for training the staff who were not in the initial evaluations. In approximately thirty evaluations, most Project Managers in the Mission joined one of the two evaluation teams and acquired practical experience using PES on a real project. This approach increased disruption of normal Mission operations substantially; however, the MEOs in these Missions should have a much easier task as these Project Managers begin to evaluate their own projects. The cost of the better coverage is summarized in Exhibit II-9.

Exhibit II-9

Investment of USAID Personnel Time  
to Observe or Participate in Project Evaluations  
During Mission Installations

| <u>Time for the</u><br><u>Evaluation by the Project Team</u> |  | <u>Time for the</u><br><u>Mission Evaluation Review</u> |  |
|--|--|---|--|
| <u>Level of Investment by</u><br><u>USAID Personnel</u>      | <u>Number of Eval-</u><br><u>uations</u> | <u>Level of Investment</u><br><u>by USAID Personnel</u> | <u>Number of Eval-</u><br><u>uations</u> |
| 1 man-days   | 2  | less than 1 man-day                                     | 2  |
| 2 man-days   | 0  |   |  |
| 3 man-days   | 1  |   |  |
| 4 man-days   | 4  | 1 or 1 1/2 man-days                                     | 32                                       |
| 5 man-days   | 4  | 2 or 2 1/2 man-days                                     | 12                                       |
| 6 man-days   | 3  | 3 or 3 1/2 man-days                                     | 5  |
| 7 man-days   | 2  | 4 or 4 1/2 man-days                                     | 1  |
| 8 man-days   | 6  | 5 or 5 1/2 man-days                                     | 2  |
| 9 man-days   | 4  | 6 or more man-days                                      | 5  |
| 10 man-days  | 8  | no information  | 5  |
| 11-15 man-days   | 12                                       |   |  |
| 16-20 man-days   | 8  |   |  |
| more than 20 man-days  | 8  |   |  |
| no information   | 2  |   |  |
| <b>TOTAL</b>   | <b>64</b>                                | <b>TOTAL</b>  | <b>64</b>                                |

The median level of investment by USAID personnel was ten man-days per demonstration evaluation. This time was training in PES and overstates the cost of a normal evaluation because much of the investment was for observers, not participants, in the evaluation. When follow-up visits are made, evidence should be collected to test whether the extra investment in practical training made an important difference in subsequent fruitfulness of PES.

Follow-up visits should also check on training of USAID personnel who missed the evaluation team (due to being stationed in remote locations, home leave, sickness, etc.) and have been trained by the MEO. It may be necessary to provide outside assistance to the MEO in the form of better instruction materials or TDY visitors.

There are probably more inadequately trained people in AID/W than in the field. We estimate that approximately 230 AID/W people have been familiarized with the PES concepts and process; those who received the modest familiarization will need some upgrading. Those who lack even this modest level of familiarization need help to fill responsible roles in USAID Missions. This training is particularly important for those destined for Mission Director and Mission Evaluation Officer roles in the field.\* Related comments appear in Chapter V, Activity 3.

There are many USAID and contractor personnel who have not been indoctrinated by and trained about PES, especially in Missions with staff remote from the capital city. The Mission Evaluation Officer is expected to train these people. The Regional Evaluation Officers in AID/W should follow-up to ascertain if further on-site assistance is necessary to reach people who were not exposed to the AID/W evaluation team during the original on-site assistance visit.

#### 8. Feedback to Improve Training during the PES Installation Program

There were important imperfections in the feedback process during Mission installations. The PES concepts and process advanced from the September 1970 state-of-the-art, refined during Mission installation during FY 1971. In an optimally managed training effort, the improvements would have been identified as they occurred, translated into revised instruction materials, and used to good advantage in subsequent Mission installations.

In fact, the installation schedule was so compressed that many evaluation teams were visiting Missions at the same time or on overlapping time tables. This hindered reflection upon experience in the early Mission

\*Note comments in Chapter III about the depth of training required for institutionalization; this comment refers simply to extensive coverage.

installations, improvements of materials of instruction, and standardization of approaches to teaching and use of the evaluation concepts and process. The imperfect feedback system resulted in Missions receiving training that differed in emphasis and personal style, and this may have caused varying responses from Missions faced with similar problems. PCI and AID/W Evaluation Officers have analyzed variations in training provided on-site and attempted to distinguish those elements of PES that are system requirements from differences in personal style. (There is a range of acceptable variation in personal style that is consistent with PES requirements and brings value to USAID Missions.)

There are more lessons still to be learned from experience with PES and how it can be valuable to USAID managers. The experience and insight from Mission and Washington Evaluation Officers using the PES concepts should be systematically collected. This experience should be analyzed to document advances in the state-of-the-art and consolidate those advances throughout AID so all will benefit from improvements which originated elsewhere. PCI hopes to prepare a working paper refining the basic PES concepts, distinguishing system requirements from personal style, and improving definitions. Related comments appear in Chapter V, Activities 2 and 4.

#### 9. AID/Washington Evaluation Teams including both AID/W and PCI Personnel

Using teams with both AID/W and PCI personnel for evaluation training worked well. "Collegial interaction" between PCI and AID personnel enriched the PCI portion of the training programs with the insights of AID/W personnel; simultaneously it established that AID/W bears responsibility for the success of the evaluation system and management of contractor support to installation of the evaluation system.

Using mixed teams allowed specialization within evaluation teams. PCI personnel concentrated on teaching PES concepts and process and counseling Mission managers on how to use PES to meet their own priorities. Because PCI personnel were insulated from other dialogues between the Mission and

AID/W, they could focus on being helpful to Mission management in evaluation and integrating evaluation with the other needs of Mission management. AID/W representatives spoke on behalf of the regional bureaus about use of evaluation reports, coordination of evaluation and programming efforts, and the transition period in AID. It was also important that AID/W indicated willingness to respond to requests for help from the Missions. PCI representatives would not have been as credible to USAID managers as spokesmen for AID/W bureaus.

#### 10. Project Management Training

Training in project management was coupled with PES training in Washington, at cluster training sessions, and in the Mission installations in three regions. Without depreciating the need for training in project management, it had a negative impact on the PES training. It distracted the attention of key personnel including the Program Officer, Mission Evaluation Officer, and Project Managers of the projects being evaluated. The extent of the distraction was minimized by the good-will and conscious effort of project management trainers, who coordinated their material with the evaluation training.

It might have been better coordination to schedule project management training later than, rather than simultaneously with, the evaluation training. Project management suffered too, since the main emphasis of the on-site assistance was on evaluation -- leaving little time and attention for the message project management trainers wished to communicate. However in fairness to project management trainers, had project management training been separate, it would have been hard to motivate Mission personnel to participate in a major project management training effort immediately after PES training.

## 11. Involvement of Host Country Personnel and Other Donors

Training in project evaluation was oriented toward USAID staff, leaving to the Missions the option of including outsiders such as host country and other donor representatives. No host country or other donor representatives attended cluster training sessions. Most Missions restricted the initial training to USAID personnel, PASA, and contractor personnel who would be involved in project evaluation.

Many USAID managers saw potential value to host country planners in the GPOI approach to project design, analysis, and evaluation. Host country representatives participated in seven project evaluations and 13 evaluation reviews. Informal comments from Mission Directors at the end of the on-site visits indicated that in retrospect many regretted excluding host country representatives from the training and evaluations. These Directors had been reluctant to involve host country officials until USAID managers were confident of the system themselves.

AID may wish to include appropriate host country representatives in future evaluation training sessions when the subject matter is technical. For example, on-site assistance at the Missions might be opened to invited guests. Even cluster training sessions could be opened to invited representatives of the LDC governments and other donor organizations. The PES evaluation concepts and approach could be valuable to host country personnel both for USAID-supported projects and for other host country development activities. Inviting host country representatives would be particularly appropriate in countries where USAID Missions aspire to jointly plan and evaluate activities to conform to host country priorities. Related comments appear in Chapter V, Activity 13.

## CHAPTER III

### OUTPUTS TO PURPOSE: PROGRESS TOWARD INSTITUTIONALIZING MISSION-USEFUL PROJECT EVALUATION SYSTEMS IN ALL USAIDS VISITED

Chapter III summarizes progress in producing outputs to institutionalize Mission-useful project evaluation systems (the purpose\*). Section A compares expected and actual progress toward PES institutionalization. Section B assesses the linkage from outputs to purpose and analyzes to what extent the outputs were necessary and sufficient to accomplish PES institutionalization.

#### A. EXPECTED AND ACTUAL PROGRESS TOWARD INSTITUTIONALIZING PES

The purpose of installing AID's Project Evaluation System was to institutionalize a Project Evaluation System that would:

1. Be useful to and accepted by Mission management as a means of facilitating their planning and programming processes; and
2. Accurately record Mission management processes, providing insight into both Mission management skills and the projects.

An important by-product expected of the project was to provide a focus for continuing improvement in Mission management through transfer of skills and experience paced to each Mission's rate of absorption.

Outputs known to be necessary for successful institutionalization have been provided for in 12 Missions, while 10 Missions lacked important ingredients, and 11 Missions were rated uncertain. This summary judgment is based on PCI's observations during the Mission installation visits and should be confirmed by evidence collected in follow-up visits six

\*In AID's Project Evaluation System, project "purpose" has a specialized definition. It is the payoff directly related to the project that motivates AID-support for the project. The contractor is responsible for producing the outputs and, together with AID, for assessing the impact of the outputs on the agreed project purpose and goal.

months after the Mission installation. Where outputs for institutionalization are not complete, the most common problem is lack of the management support. Lack of a trained MEO and the need to extend to capital projects also are important in some Missions. A more detailed analysis of the evidence available now about PES institutionalization follows.

### 1. Outputs Necessary for PES Installation

The key outputs known to be necessary for successful PES installation were:

- a. Support: Mission managers support the use of PES (because it is useful to themselves and/or others).
- b. Understanding: Mission managers understand the PES (enough to use the concepts and process appropriately):
- c. Critical Mass: Enough key people understand and use the concepts to ensure continued and extended application of PES in the Mission.

#### (a) Support of PES by Mission Managers

There is some evidence indicating support of PES by Mission managers even though no follow-up visits have been made yet. In Latin America, evaluation was discussed at a Mission Directors' Conference in February, 1971, with informal comments from Missions already visited indicating strong support for PES. In East Asia, we are told that positive reactions were communicated to Mr. O'Connor and Mr. Meinecke during their field visits. More first hand feedback from the NESAs region should be available in August, 1971, based on field visits by the Regional Evaluation Officer in July, 1971. (Based on PCI assessments of progress at the Mission, it is expected that installation will have been less successful in NESAs than in other regions. The reasons for this are not clear, but PCI teams were less optimistic about their impact on NESAs Missions.)

USAID support for PES appeared satisfactory from 91% of the policymakers and 81% of the Mission Evaluation Officers observed by PCI representatives in Mission installations. Exhibit III-1 summarizes the data on support for PES in USAID Missions. In the absence of evidence from follow-up visits, PCI representatives rated support for PES by USAID policymakers and Mission Evaluation Officers. The Policymakers are Mission Directors, Deputy Directors, Assistant Directors, Program Office Chiefs, and Division Chiefs who were exposed to PES. The support for PES of policymakers was rated on a five-point scale: "1" means "hostility to PES"; "3" means "acceptance without enthusiasm"; and "5" means "embraces PES as useful to himself and/or others." When there was inadequate information about support, no rating was made. Ninety-one percent (120/132) of the policymakers had "3", "4", or "5" ratings, which were considered satisfactory support for policymakers. Seventy-one percent (85/132) were rated in the top two categories for support.

The standard for satisfactory support by Mission Evaluation Officers should be higher, since MEOs must manage the Mission's evaluation system. Eighty-one percent (30/37) of the MEOs trained during Mission installations were rated "4" or "5" on their support for PES; ninety-seven percent (36/37) were rated "3" or higher.

Mission receptiveness to the Project Evaluation System improved substantially in the course of, and presumably as a result of, the on-site visits. USAID managers tended to shift from skepticism about PES to favorable attitudes during the Mission installation. PCI observations on Mission receptiveness to PES are summarized in Exhibit III-2. Despite the methodologic deficiencies of the evidence, there appears to be a causal relationship between on-site assistance to the Mission and improvement in attitude of senior Mission management toward PES. Informal feedback from the Missions to AID/W and PCI also suggests widespread support for PES based on its usefulness to USAID senior management.

EXHIBIT III-1

SUPPORT FOR AID's PROJECT EVALUATION  
SYSTEM BY USAID PERSONNEL

|                             | RATING OF SUPPORT* |    |    |    |    |    | SUPPORT SATISFACTORY** |     |
|-----------------------------|--------------------|----|----|----|----|----|------------------------|-----|
|                             | 1                  | 2  | 3  | 4  | 5  | NR | Ratio                  | %   |
| USAID POLICYMAKERS          | 2                  | 10 | 35 | 43 | 42 | 4  | 120/132                | 91% |
| MISSION EVALUATION OFFICERS | 0                  | 1  | 6  | 8  | 22 | 0  | 30/37                  | 81% |

\* Scale for support: 1 = hostile to PES; 3 = accepts PES without enthusiasm; 5 = embraces PES as useful to himself and/or for others; NR = no rating due to inadequate information.

\*\* Satisfactory support for policymakers is 3, 4, or 5. Satisfactory support for a Mission Evaluation Officer is 4 or 5.

EXHIBIT III-2

USAID RECEPTIVENESS TO THE  
PROJECT EVALUATION SYSTEM

1. Initial attitude of Mission senior management toward PES

|                            |    |
|----------------------------|----|
| Skeptical . . . . .        | 11 |
| Neutral or mixed . . . . . | 16 |
| Favorable . . . . .        | 6  |

2. Attitude at end of visit of Mission senior management toward PES

|                            |    |
|----------------------------|----|
| Skeptical . . . . .        | 0  |
| Neutral or mixed . . . . . | 12 |
| Favorable . . . . .        | 21 |

3. Mission senior management found it useful for improving programming and project implementation

|                 |    |
|-----------------|----|
| No . . . . .    | 0  |
| Mixed . . . . . | 5  |
| Yes . . . . .   | 28 |

(b) Understanding of PES by Mission Managers

Although there have been no follow-up visits to confirm understanding of PES, there is some evidence available based on observations during Mission installations. The understanding of PES appeared satisfactory for 72% (94/131) of USAID policymakers and 73% (27/37) of Mission Evaluation Officers. Exhibit III-3 summarizes the data on understanding of PES in USAID Missions.

The PCI ratings are based on a five-point scale of understanding. A rating of "1" means "low understanding"; "3" means "able to discuss concepts appropriately"; and "5" means "uses concepts appropriately and recognizes inappropriate use by others." When there was inadequate information, no rating was made.

Policymakers should be "able to discuss PES concepts appropriately," especially in evaluation and PROP reviews, so a rating of 3, 4, or 5 is satisfactory. MEOs must understand better (rating 4 or 5) to satisfactorily serve as educators for the rest of the Mission.

More than 70% of policymakers and MEOs rated at a satisfactory level of understanding, sufficient coverage for institutionalizing PES in most Missions. However, the PCI ratings suggest that "understanding of PES" is weaker than "support for PES." At the end of the Mission installations, more than a quarter of USAID policymakers and MEOs needed more help to be able to discuss PES concepts appropriately. Some will learn from their colleagues in subsequent evaluations and evaluation reviews, but the ratings probably understate the need for training by omitting people who were not present for the Mission installation due to home leave, sickness, or other conflicting commitments. Important gaps remain in understanding that must be filled or PES will be discredited in some Missions. Related comments appear in Chapter V, Activity 3.

## EXHIBIT III-3

USAID UNDERSTANDING OF AID's PROJECT  
EVALUATION SYSTEM CONCEPTS

|                             | RATING OF UNDERSTANDING * |    |    |    |    |    | UNDERSTANDING SATISFACTORY ** |     |
|-----------------------------|---------------------------|----|----|----|----|----|-------------------------------|-----|
|                             | 1                         | 2  | 3  | 4  | 5  | NR | Ratio                         | %   |
| USAID POLICYMAKERS          | 7                         | 30 | 51 | 25 | 18 | 5  | 94/131                        | 72% |
| MISSION EVALUATION OFFICERS | 0                         | 4  | 6  | 13 | 14 | 0  | 27/37                         | 73% |

\* Scale for understanding: 1 = low understanding; 3 = able to discuss concepts appropriately; 5 = uses concepts appropriately and recognizes inappropriate use by others; NR = no rating due to inadequate information.

\*\* Satisfactory understanding for policymakers is 3, 4, or 5. Satisfactory understanding for a Mission Evaluation Officer is 4 or 5.

(c) "Critical Mass" of Support for PES

The Mission installations were expected to create a "critical mass" of support for PES, enough key supporters in each Mission to ensure continued and extended application of PES in the Mission. In the absence of evidence from follow-up visits, PCI representatives rated each Mission on the strength of its "critical mass" of support for PES and found 76% (25/33) satisfactory. Exhibit III-4 summarizes the data on "critical mass" of support for PES. PCI ratings are based on a five-point scale of strength of the critical mass of support for PES at the end of the Mission installation. A rating of "1" means a change of a key person (people) is essential; "3" means support from present staff is sufficiently widespread for institutionalization (if there were no personnel changes); "5" means support is widespread and strong enough for PES to endure despite loss of the strongest PES advocate.

The 8 Missions with ratings of less than satisfactory received low ratings because of some combination of (1) failure to reach key managers due to their absence or lack of involvement during the Mission installation or (2) having reached key managers, the lack of evidence of support for PES. Follow-up visits should produce evidence of the "critical mass" of support for PES after six months of experience using PES and six months of personnel changes.

2. Progress Toward Purpose: Mission-Useful Evaluations System

Good evidence of progress toward institutionalizing a Mission-useful system can be gained only by follow-up visits, observing what has happened after the installation visit. However, there are some leading indicators--documentation and informal feedback that give us some insight in purpose-level achievement. These are discussed in the following.

EXHIBIT III-4

"CRITICAL MASS" OF SUPPORT FOR PES  
AT END OF THE MISSION INSTALLATION

|                | Rating of "Critical Mass"* |   |    |   |   | "Critical Mass"<br>Satisfactory** |     |
|----------------|----------------------------|---|----|---|---|-----------------------------------|-----|
|                | 1                          | 2 | 3  | 4 | 5 | Ratio                             | %   |
| USAID MISSIONS | 0                          | 8 | 11 | 9 | 5 | 25/33                             | 76% |

\* Scale for Critical Mass: 1 = change of a key person (people) essential; 3 = support from present staff is sufficiently widespread for institutionalization; 5 = support is widespread and strong enough to endure despite loss of strongest PES advocate.

\*\* Satisfactory "critical mass" is a rating of 3, 4, or 5.

AID's PES should result in Mission-useful evaluations and should "accurately record Mission management processes, providing insight into both Mission management skills and the projects." The evidence of Mission-useful evaluations would be Logical Frameworks, PARs, and revised PROPs that: 1) accurately describe Mission judgments and decisions about projects, and 2) document the insight of the Mission into its own projects. The PAR was designed to be a "credible record" of good management of the project -- communicating information showing the project was being managed well but not attempting to communicate enough information to make important decisions based on the PAR.

There are Logical Frameworks in AID/W for most of the 63 projects evaluated during Mission installations. These Logical Frameworks have been collected by AID/W evaluation officers but have not yet been systematically analyzed as evidence of Mission-useful evaluations. Since AID/W evaluation officers participated in these evaluations, it is understandable that they are willing to believe the evaluations were Mission-useful based on first-hand observation without documentary analysis. The PAR reports available in AID/W also describe the evaluations during Mission installations, adding little new insight for those who participated.

The Logical Frameworks that are well done communicate insight into projects more crisply than lengthy PROPs. They record Mission judgments and decisions about projects, often more articulately, candidly, and succinctly than was done before. In badly designed projects, the flaws are displayed, in some cases with embarrassing clarity, and in most cases Mission managers have responded with appropriate tough-mindedness. Logical Frameworks have been sent to AID/W by some Missions even though not required because MEOs and Program Officers in the Missions want feedback from AID/W to improve their proficiency in using Logical Frameworks and GPOI Analysis; this attitude has been and should be encouraged by Regional Evaluation Officers.

Experience at Mission Evaluation Reviews shows that Logical Frameworks, even if done badly, can be used to surface sloppy thinking on important issues and lead to more realistic expectations. For example, in projects where the development impact (purpose) is only remotely connected to project activities (inputs and outputs), it is hard to "cheat" on a tough-minded Director by understating the expected impact for the Director will question if the results are worth the cost of the project. Overstatement of expected impact of the project (purpose) reveals the heroic but dubious hypothesis that realistic outputs will bring about the inflated development impact. When Logical Frameworks revealed that the projects were inadequate and required additional work, the appropriate replanning action was to create a credible project design, orienting the project to the Mission Director's objectives with a plausible plan for achievement.

Both in Missions and Washington, the PAR summary of a project evaluation is used -- but not yet used with confidence. Some Missions have used the PAR format to summarize the results of the project team's evaluation for presentation to the Mission Review. The PAR is used as a report to the Mission Director in fewer cases than expected, perhaps because Directors were involved more than normally in evaluation during on-site visits.\* The PAR reports to AID/W have been submitted as planned. In one Mission, the MEO has trouble getting the PAR cleared, not because of secretiveness, but because "the Mission-useful" part of the evaluation was considered completed and reporting to AID/W had a low priority.

AID/W users of evaluation data have difficulty using PARs. They are ambivalent about what they can and should do with evaluation data. When questions about the project arise, there is a natural desire to use PAR data,

\*There are only 3 Missions where the PAR generated during review was subsequently forwarded to the Director. However, we expect that many Directors will be spending less time in the evaluation reviews and will rely more on the PAR itself.

but concern whether AID/W should do so; after all, PARs are not supposed to be used to "manage the project from across the sea." Two AID/W readers of PARs cannot judge if a PAR is the result of a Mission-useful process. They indicate the lack of an insightful evaluation was clear in a particularly cavalier PAR, but articulate Program Officers probably can write plausible PARs without the recommended PES process.

It appears that a PAR, together with a Logical Framework, provides enough evidence for an experienced reader to distinguish well managed from poorly managed projects. Therefore, when PROPs using the Logical Framework are available, it will be easier to use the PAR as a "credible record" of good management. In the meantime, AID/W PAR users should invite USAIDs to submit Logical Frameworks with PARs, even though the Logical Frameworks are not required. Further comments appear in Chapter V, Activity 5.

#### B. ASSESSMENT OF LINKAGE FROM OUTPUTS TO PURPOSE

A summary assessment of the out-put-to-purpose link in the PES installation is that the tasks undertaken were necessary for institutionalizing PES and will be sufficient when specific issues are resolved.

##### 1. Were Regional Cluster Training Sessions Necessary for Successful Institutionalization of the Project Evaluation System?

The cluster training sessions resulted in an important headstart before the site visit in 19 Missions, no important headstart in 10 Missions, and uncertain effect in 4 Missions. The speed of installation was improved in 17 Missions, and success of the installation improved in 19 Missions. Analysis of the 10 Missions where there was no headstart shows 4 participated at San Salvador, which was a field test of PES rather than as a cluster training session. Three others were Missions that hosted cluster training sessions and had no time interval before on-site assistance. The favorable effect of cluster training on understanding and attitudes of participants

had already been noted in Exhibit II-8. These factors suggest cluster training was an important factor in the subsequent successful Mission installations.

## 2. Was On-site Assistance Necessary?

On-site assistance was rated by PCI representatives as necessary for successful PES institutionalization in all 33 Mission visits. The Mission visit was important for varied reasons. The most frequent, important result of the Mission visit was strengthening the use of Logical Framework concepts in project design or design clarification (25 Missions). Other effects mentioned frequently as important were "training the Mission Evaluation Officer" (23 Missions), "selling the Director and/or other senior management" (19 Missions), "presenting the concepts to the staff" (19 Missions), and "the Mission Review" (14 Missions). This analysis supports the strategic decision to provide on-site assistance rather than stopping after issuing the Manual Order for the Project Evaluation System and cluster training sessions:

## 3. Was the PES Installation Program Sufficient to Assure Successful Institutionalization of a Self-Sustaining Project Evaluation System?

PCI observers thought everything necessary for successful institutionalization was completed in 12 out of 33 Missions. Eleven Missions will clearly require additional help and in ten Missions conditions were considered uncertain.

The area of risk cited most frequently (10 Missions) was whether top management would demand good evaluations, motivating project managers to use well the MEO and the Project Evaluation System. Sometimes the Director was not interested in technical assistance, or in evaluation, or the Director was not yet confident the MEO would really be helpful. PES institutionalization in these Missions probably will depend on one of three scenarios: 1) Someone else will motivate the system -- probably a Deputy

Director, Assistant Director, Program Officer, or individual Division Chief; 2) The Director will motivate the System because he understands PES will improve management at lower levels even if it does not help him with the problems that most concern him; 3) Individual managers are convinced the MEO can help them improve their projects and use him even though there is no strong pull from higher management.

The second common problem threatening PES institutionalization is doubt about having a trained MEO with time to do the job (5 Missions). The Mission visits resulted in someone prepared to manage a Mission-useful evaluation process in 30 Missions with 3 Missions rated doubtful. However, only 24 Missions could expect to retain their MEO for at least six months. In some cases, it was possible to anticipate the MEO's imminent departure and train a replacement immediately. In other Missions, the new MEO would have to be recruited or had already been recruited but was not available to be trained during the on-site assistance. Turnover in the MEO positions could become a significant problem unless new MEOs are trained as they are identified and assigned. (Another approach would be for AID/W to identify trained MEOs and, as their turn for rotation comes up, help them and other Missions by placement/recruitment advice.) Program Officers often were well trained and able to serve the MEO function if necessary, but in at least one case, a program officer was designated MEO against his wishes -- not a situation favorable to PES institutionalization. Related comments appear in Chapter V, Activities 4 and 7.

The "time needed" for MEOs to do their jobs well and the "time available" were not well defined in most Missions. PCI representatives considered the time available to be adequate in 20 Missions, inadequate in 1, and uncertain in 12. The projected workload for PES implementation was expected to be a problem in 18 Missions and a serious problem in another 3 Missions.

For successful institutionalization of PES an Evaluation Conference in FY1972 would benefit 26 Missions, give no benefits to zero Missions, and 7 Missions are rated "?". The conferences should build professionalism in MEOs and nurture the evaluation community that has already developed in AID. The sense of community is particularly important for MEOs who feel isolated in Missions where they are not well used. PCI representatives commented on what each Mission needed from a conference:

- Nineteen Missions need an opportunity for the MEO to vent his problems and learn from the experiences of other evaluation officers. Comments refer to learning the tricks-of-the-trade, gaining polish, and learning about advances in the state-of-the-art from other Mission installations. These Missions need conferences to help consolidate PES.
- Five Missions need conferences to give the MEO confidence that PES brings value in other Missions and can do so in his own Mission too.
- Two Missions need new skills from a FY1972 conference such as better ways to deal with inputs and improved evaluation criteria. They have already adopted PES for non-capital projects and are extending it to other areas on their own initiative.
- Two Missions need help providing senior management insight and understanding of the usefulness of PES.

Related comments appear in Chapter V, Activities 4, 7, and 8.

#### 4. Can a MEO be as Valuable as an Outsider for Evaluation?

The Mission Evaluation Officer's role in the evaluation process is somewhat different from an outside evaluation team visiting the Mission. Some evidence suggests that outside participation by the AID/W evaluation team was valuable because they were outsiders. On-site assistance visits of one week created a sense of urgency that led Project Managers, Division Chiefs, and the Mission Directors to focus attention on their roles in evaluation. The Mission Evaluation Officer often will be competing for the attention of the same participants, with his ability to create a sense of urgency directly dependent on demand from top management for the results

of the evaluation. Follow-up visits to Missions should investigate how the MEO's flexibility for scheduling evaluations affects the evaluation process.

5. Can a MEO Broaden the Perspective of Project Teams?

An opportunity for evaluation to bring value to USAID managers is to broaden the perspective of the project teams. PCI generalists stimulated fresh thinking of USAID technical experts in many cases. Lack of detailed familiarity with the technical materials helped more than it hindered because the underlying assumptions were surfaced rather than glossed over. Further reflection suggests that it was not ignorance that was valuable in these evaluations, but a combination of: 1) analytical ability, 2) lack of the involvement in the project team's efforts, and 3) a helpful orientation that evoked cooperation rather than defensiveness from the project team.

It is possible, but not inevitable, that Mission Evaluation Officers will render similar service. Future training of MEOs can increase their professionalism in these areas. Analytical ability can be nurtured through training; lack of involvement depends mainly on MEO awareness and conscious effort to be an analyst, not an advocate nor prosecutor nor judge; the helpful orientation also depends on MEO awareness and attitude. MEOs also can use outsiders to broaden the perspective of project teams when fresh thinking is important and the MEO is not able to provide the broader perspective himself. Related comments appear in Chapter V, Activity 7.

6. Was There Too Much Emphasis on Clarification of Project Design?

Clarification of Project Design received heavy emphasis during "on-site" assistance visits. PCI representatives estimated the average emphasis (percent of time consumed) in evaluations as follows:

| <u>Type of Analysis</u>  | <u>Average % of Time Used</u> |
|--|-------------------------------|
| Clarification of Project Design                                | 63%                           |
| Assessment of Project Progress                                 | 23%                           |
| Replanning   | 13%                           |
| Reporting Requirements in Excess<br>of Mission-Useful Analysis | <u>1%</u>                     |
|  | <u>100%</u>                   |

Concentration on clarification of project design resulted from introducing the Mission to an approach to project design that stimulated and challenged Mission personnel and filled the time available. Although their attention was focused on terminal conditions for the project, many important issues were raised in the course of design clarification. The on-site evaluations resulted in remedial planning using the Logical Framework; this process established a basis for sound evaluation and raised enough important issues to demonstrate the value of the Project Evaluation System for Mission management. The "Logical Framework" stimulated a desire to replan before evaluation, to remedy deficiencies in design. Thus, "clarification" led to replanning in many projects.

Did the heavy emphasis on design clarification somehow jeopardize successful institutionalization of the PES system? The answer is probably no and yes. No, the system is not jeopardized, because the improvement in project and program design alone will bring significant value to USAID managers to justify PES even if it does nothing more. However, the Project Evaluation System will only yield a fraction of its potential value until managers master a complete and satisfying evaluation process that goes beyond design clarification.

The evaluations of FY1971 have resulted in evaluation designs that USAID personnel may not be able to implement in FY1972 and after. MEOs need guidance and help in important areas such as: 1) using evidence efficiently and 2) defining and assessing alternatives. The proper treatment of alternatives for fruitful evaluation is a subject somewhat beyond the state-of-the-art as practiced today. Unless something better than straw-man alternatives are used, evaluation will be limited to monitoring progress against plans, with significance rationalized rather than proved. On the other hand, reckless introduction of alternatives in a manner insensitive to the human needs of USAID personnel may jeopardize the collaborative environment which has brought such great value in the evaluations of FY1971. PCI hopes to prepare a separate paper on the "Use of Evidence and Alternatives", with the recommendation that this be the organizing theme for the AID evaluation community in FY1972. Related comments appear in Chapter V, Activity 8.

#### 7. What Depth of Training is Required for Successful Institutionalization?

Successful institutionalization of PES depends on users of the evaluation system understanding its potential usefulness and what they must do in order to make the System serve their own needs. Mission Evaluation Officers will require additional understanding of PES and how to teach it. The state-of-the-art in evaluation has advanced far enough that an untrained person cannot function as Mission Evaluation Officer without prior preparation. AID/W-supported training should provide MEOs sufficient indoctrination and practice to perform their duties with confidence when they get to the Mission. Also useful would be tutorial type grooming such as a week of TDY work for a new MEO, working with an experienced and respected evaluation officer. Alternatively, perhaps AID/W can provide on-site assistance at some point during the MEO's first three months to ensure that he is well launched and serving his Mission effectively. Refer to Chapter V, Activities 4 and 7, for further comments.

AID/W-supported work on exemplary Logical Frameworks, indicators and project designs would be helpful to MEOs, other USAID officers, and AID/W Staff. A suggestion for using evaluation data in AID/W for this purpose appears in Chapter V, Activity 12.

Mission Directors and Deputy Directors also must have guidance about making evaluation relevant to their problems. Mission installations helped do this informally, but not sufficiently in many cases. Mission Directors must understand that evaluation can be a useful tool, tailored to their own management style. Mission Directors may, by force of habit, ignore the potential value of the evaluation system because they do not realize "how" it could be useful.

Training for Mission Directors might take the form of a session on "Getting mileage out of the evaluation system and the Mission Evaluation Officer." The material must be sensitive to the real problems and pressures facing the Mission Director and use realistic examples of how the evaluation system can be valuable. The objective of the training program is to sensitize Mission Directors to ways of using the MEO and the evaluation system different from their instinctive approach, and to clarify what is required from them to make the evaluation valuable. Chapter V, Activity 6 presents related comments. Program Officers and Division Chiefs require training that includes elements from MEO training and from Mission Directors' training. Probably the materials developed for the other training can be adapted for Program Officers and for Division Chiefs at little added cost.

#### 8. How to Use the PAR?

Proper use of the PAR to record Mission evaluations and reaction to PARs by AID/W could influence the successful institutionalization of the PES. On-site assistance focused on creating a Mission-useful process, usually to the exclusion of reporting on that Mission-useful process. It was a subconscious, and in some cases a conscious, strategy by the AID/W evaluation

team to de-emphasize the PAR as a report on evaluation in order to focus attention on the Mission-useful evaluation process itself.

The PAR was used in several different ways by Missions. In some Missions the PAR format was used to organize information before presenting it to a Mission Evaluation Review. Elsewhere, the Logical Framework was used without the PAR. The PAR format usefully summarized the information required for Mission management to discuss the status of the project and to reconfirm or modify the actions proposed by the project team for the coming year. The PAR as a report on the results of Mission Evaluation Reviews is recommended for the Mission Director and required for AID/W.

9. How can PES Relevance be Ensured in Missions with Low Emphasis on Non-Capital Projects?

PES will be particularly valuable to Mission Directors when it is used for improving the parts of his program he considers important. In Missions where non-capital projects are relatively unimportant, the MEO must make evaluation useful for the other parts of the AID program to remain relevant to management. Non-capital projects for all AID in 1970 were approximately 28 percent of AID's commitments. In one Mission, there were no non-capital projects to be evaluated other than the projects evaluated during the on-site assistance visit. All of the important activities in that Mission were capital projects, so improvement in evaluation for that Mission must involve improvement applicable to capital projects.

There would be an economy of effort if a single evaluation process captured the important elements of all the activities under a Manager's supervision. If PES could be extended to other kinds of development assistance, it would simplify management in several situations. There are many development activities with two sets of evaluation requirements: Title Two projects, projects with both capital and non-capital components, and terminating projects. There are groups of projects that lend themselves to being managed

as interrelated components of an integrated program with capital and non-capital components; evaluation of an entire program would be facilitated by use of PES concepts. Good experience already is available demonstrating the feasibility of using PES concepts for complex programs and several USAIDs have proceeded on their own initiative to evaluate in this manner -- because it is useful to the Mission.

Successful institutionalization of the Project Evaluation System will require exploring the interfaces of non-capital projects with other parts of the AID Mission Director's responsibilities to identify what other areas PES techniques would be useful for, and where the Mission Director has other problems that require a different approach to evaluation. The presumption should be that the Mission Director's attention will go to those parts of his program where the most money is being spent, and that the AID evaluation community should investigate those same areas to identify ways to help the Mission Director fulfill his management responsibilities. It is recommended that the Mission Director's overview of all the activities under his supervision be looked at together rather than evolving several parallel evaluation systems independently of one another, deferring the required amalgamation and process of comparisons to the Mission Director who would be forced to use all of the systems. Related comments appear in Chapter V, Activities 9 and 11.

10. Should Follow-up Visits be Concentrated Where the Project Evaluation System is Not Working Successfully?

The evidence from the on-site assistance visits suggests, and follow-up diagnosis from AID/W probably will confirm, that the PES is not working as planned in some Missions. The causes of malfunctioning will vary from Mission to Mission. The broader panorama of success should give AID confidence in the basic fruitfulness of PES, and lead to a strategy of diagnosis and remedial help to those parts of AID where the system is not

functioning successfully. To the extent possible, this should be done through responses to requests for help from the Missions. In those Missions where it is clear that evaluation is not functioning effectively, AID/W might volunteer assistance, but request that the Mission Evaluation Officer and perhaps the Mission Director identify what kind of assistance would be most welcome. The help provided should be responsive to the felt need of the Mission, but AID/W helpers should be sensitive to problems completely different from the felt need identified by the Mission itself. There will be cases where further creative innovations will be required to "customize" the PES approach to evaluation to make it Mission-useful for specific projects and specific managers; only effective leadership and good judgment will define the line between artful customizing and corruption of the System.

Follow-up visits should also include Missions where management has been supportive and made good use of PES. These Missions will have more sophisticated problems, having solved the easier ones. AID/W visits to these Missions will help identify the future problems and the important opportunities for other Missions. Identifying best practices in evaluation and disseminating them systematically can be valuable to the whole evaluation community. Follow-up visits are recommended in Chapter V, Activity 1.

#### 11. Will PES Continue to Work if AID is Reorganized?

The experience of FY1971 suggests that the design logic of GPOI Analysis, including the Logical Framework, is not dependent on the organizational structure of AID. It will be even more useful for communication among the interested parties as USAID Missions shrink in size.

However, if AID is drastically reorganized, the evaluation process used now (with a Mission Evaluation Officer managing a Mission-useful evaluation process, etc.) may have to be modified. For example, the use of project teams evaluating their own projects takes advantage of the presence in a USAID Mission of experienced, knowledgeable technicians who have

necessary information and who will implement the recommendations. The Mission Director is responsible for a country-wide program, and accepts responsibility for the decisions about what shall be done on individual projects. If management responsibility is moved to Washington, or outside of the Agency to a multi-lateral organization or to a host-government organization, it will be essential to incorporate the real manager into the evaluation-replanning process.

Recognizing that AID is likely to be reorganized, it would be foresighted now to nurture a broader evaluation community, including representatives of other donor organizations, host governments, and contractors in order to share the advances pioneered by AID with others while AID is able to provide effective leadership in evaluation. This would be a form of institution building - to create an evaluation community that would survive reorganization - preserving those elements found valuable by AID and continuing to improve evaluation and planning of development program in the LDC's. For example, AID may wish to invite representatives of other organizations to participate in its evaluations of individual projects, to collaborate with the AID evaluation community in thinking through the problems of evaluation, to participate in AID-supported evaluation conferences, to receive publications from the AID evaluation community, and to contribute their ideas on evaluation. AID should explore the feasibility of an institution to coordinate and sponsor continued improvements of evaluation; such an institute for evaluation could be very helpful for coordinating the evaluation efforts of six separate United States bilateral organizations involved in foreign assistance and the efforts of other donors in this area. Related comments appear in Chapter V, Activity 13.

CHAPTER IV  
THE CONTRIBUTION OF PES TO  
AID-SUPPORTED PROJECTS IN DEVELOPING COUNTRIES

Chapter IV summarizes the contribution of PES to effective AID-supported projects in LDC's. Section A compares expected and actual results. Section B assesses the linkage from PES to better AID-supported projects.

A. EXPECTED AND ACTUAL RESULTS AT THE GOAL LEVEL

The goal of AID's Project Evaluation System was improving the effectiveness and efficiency of AID-supported projects by helping Mission managers prepare clear, well thought-out plans and evaluations leading to re-planning as necessary. It was also expected as a by-product of the project, that other improvements in Mission management would result from implementation of the Project Evaluation System.

The Project Evaluation System has resulted in related improvements in Mission management. Missions have voluntarily submitted new PROPs documenting changes in their plans for projects and how they view those projects. Missions have, on their own initiative, begun to use the Logical Framework for analysis of new activities and initiated pressure on AID/W to change the PRCP requirement to use the concepts of GPOI analysis.\* In many USAID Missions, local management has taken the PES concepts and process and begun to explore how to use these concepts for their own pressing problems that were not included in the original Project Evaluation System; namely, capital projects, complex programs with more than one project, design of new projects, and joint planning and evaluation with the host government, etc.

All assessments of improvement in AID projects are based on observations of PCI representatives during Mission installation since there have been

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\*In AID's Project Evaluation System, GPOI is an acronym for Goal, Purpose, Output, Input.

no follow-up visits to provide better evidence. PCI representatives were asked: "Was there evidence that evaluation of this project was of direct benefit to the Mission?" There were 45 "yes" responses, zero "no" responses, and 19 marked "?". The most frequent benefits cited were the following:

- Constructive communications and dialogue initiated (46 evaluations);
- Training of Project Managers (42 evaluations);
- Training of Mission evaluation Officer (37 evaluations);
- Roles and responsibilities clarified and specified (37 evaluations);
- Important decisions made in Mission Review using evidence from evaluation (26 evaluations);
- Commitment to serious project evaluation (20 evaluations);
- Unforeseen project problems identified (15 evaluations);
- Other (11 evaluations).

Informal feedback from Mission Directors and other Mission managers supports the impression of PCI's representatives that PES was useful for planning, management, evaluation, replanning, and communications about AID-supported projects. There are numerous anecdotal examples of improvement in Mission management practices directly traceable to the PES and the on-site assistance visits. Although the purpose of the on-site assistance was to instruct the Mission by helping each Mission evaluate two projects, it was an important by-product of the Mission installations that some useful decisions were made to improve USAID projects. A series of anecdotal examples of results from 77 PES evaluations is attached in Appendix C. The examples are classified according to 7 AID organizational categories, institution building emphasis (versus non-institution building), capital and mixed capital/non-capital projects

(versus non-capital projects), regional projects (versus bi-lateral projects), and complex programs (versus single non-capital projects.) Examples from the ROCAP Mission (which was not assisted under this contract) are attached since they also illustrate the impact of the AID Project Evaluation System.

Comments of AID personnel involved in the Project Evaluation System are another source of feedback about the value of PES to USAIDs. PCI representatives were asked to reproduce, as accurately as possible, useful or insightful comments (either positive or negative) regarding evaluation of projects. Appendix D, summarizes these "quotable quotes". Individuals are identified only by title or position. The comments included in Appendix D are indicators of USAID reaction to the Project Evaluation System and the on-site assistance visit. As indicators of Mission acceptance, these comments are subject to several methodological weaknesses. They indicate reactions during on-site assistance, so they are not opinions based on reflection and extensive experience. The comments probably are biased positively. Informal communications from USAID personnel suggest that the Missions hesitate to criticize in communications to Washington, except when they feel something important is at stake. However, comments from Mission Directors at a Director's Conference, discussions during visits to Washington by field personnel and visits to the Missions by Washington personnel, tend to confirm that the Project Evaluation System is well received as a valuable tool for management.

## B. ASSESSMENT OF THE LINKAGE FROM PURPOSE TO GOAL

### 1. How does PES help improve Project Management?

Mission managers have commented that most ingredients of the Project Evaluation System were not new to AID; "good Project Managers and Program

Officers were doing these things all along based on intuition and experience". Yet, the evidence of on-site assistance visits suggests that PES helped experienced managers immediately improve planning and evaluation and suggested future improvements for programming.

The key element in the AID evaluation community's well earned reputation for "relevance" to management has been emphasizing the link from evaluation to replanning and showing how to do it. Previously, evaluation tended to be a backward looking and academic reexamination. PES orients evaluation forward to making projects accomplish their objectives. Typically, USAID managers aspire to have an important impact on the LDC's where they work and they can influence but not control some factors that are crucial to achieving the project purpose. Some managers feel their projects are "out of control." They would like to get the projects back "in control" and welcome help in doing it. PES does help!

The Project Evaluation System appears to have introduced into general use a cluster of complementary innovations that formerly had been the "best practices" of AID officers. "GPOI Analysis", including the Logical Framework, is a useful method for organizing information about development projects. The PES process usefully organizes people in the AID/W and USAID environment for collaborative planning.

The Logical Framework displays two complementary logical processes, separately considering the "vertical" and the "horizontal" dimensions. The "vertical logic" of the Logical Framework describes a project as a series of linked hypotheses clarifying "what we want to happen" and "what we can do to bring it about"--with explicit notice of assumptions about outside conditions. The vertical logic helps AID managers clarify what is supposed to happen as a result of their projects and how their activities fit into the bigger picture.

The "horizontal logic" of the Logical Framework helps managers increase the precision of their project plans, clarifying what is to be produced and how achievement will be demonstrated. AID managers found that with some help from evaluation officers, they could be more explicit about what was expected to happen. Without abandoning what was necessarily artful of their management, they made crisp summaries that communicated the important elements of the project design, plans, and evaluation approach. More specifically, it was frequently found that moving from "intent" to "objective verification" was an iterative process, clarifying the intent as well as the indicators and targets. Similarly, adding the means of verification often pointed up ways to improve indicators and set realistic targets.

PES concepts, developed for project evaluation, appear applicable to other aspects of managing AID supported development activities; namely, project funding decisions, contracting, coordination with other agencies, and developing time phased work plans. Suggestions for exploiting PES concepts in these related management areas appear in Chapter V, Activities 10.

## 2. Using Evaluation for "Bigger Issues"

Evaluation officers and mission managers have commented that the Project Evaluation System was very useful for plugging little holes (improving the project design and management of non-capital projects) while leaving big holes unattended, i.e., failing to use the same approach to make sector level, country level, and agency level planning more rational.

The AID evaluation community used PES concepts focusing on the problems of the project manager and reaching up from the lowest level of management to the Mission Director. What could the evaluation community develop

for focusing on the problems of immediate concern to higher levels of management? For example, could the Logical Framework approach be applied to design and evaluation of complex programs? Country level programs? Agency-wide questions? Exploration by the evaluation community is recommended at this stage. Evaluation should not be nor become a "side-show" plugging only the small holes if there are big holes that could be filled by systematic evaluation. Some specific suggestions are described in Chapter V, Activity 11.

CHAPTER V  
THE NEXT STEPS:  
EVALUATION ACTIVITIES TO CONSOLIDATE  
PES AND FURTHER DEVELOP EVALUATION

Chapter Five is organized into three sections: Section A describes seven activities to consolidate AID's Project Evaluation System. Section B describes five additional activities to improve evaluation in AID through exploitation of PES concepts and further evolution of evaluation in AID. Section C describes one additional activity to improve evaluation outside of AID as well as within it.

A. ACTIVITIES TO CONSOLIDATE AID'S PROJECT EVALUATION SYSTEM

The experience from installation of the PES suggests seven activities that are needed to consolidate the PES and can be supported with a relatively low level of effort from AID/W.

Activity One - Follow-Up Visits to a Sample of USAID's

(Related comments are in Chapters II-B.7, III-B.4, and III-B.10)

Follow-up visits to a sample of USAID missions are needed to obtain evidence of success at the purpose and goal level and to plan future efforts to improve evaluation. Follow-up visits were recommended as a part of the original project design for PES installation; the evaluation community should manage its own activities according to the gospel that it preaches to other AID managers by collecting evidence of the impact of PES. The missing ingredients are:

- (a) Evidence of successful institutionalization of PES;
- (b) Evidence of improvement in project plans and performance as a result of the PES; and,
- (c) Problems and opportunities revealed by experience with the PES that suggest what help is needed from AID/W.

Follow-up visits should be scheduled as early as possible in Fiscal Year 1972 so that lessons learned can be used for planning other activities during the year.

Activity Two - Perfecting PES Concepts and Process

(Related comments are in Chapter II-B.8)

The state-of-the-art in evaluation has advanced during Fiscal Year 1971 as a result of experience during the installation of PES. Existing materials to assist Mission Evaluation Officers using PES can and should be improved.

Specifically, the Evaluation Handbook and Evaluation Guidelines should be updated to clarify three areas:

- (a) Refinement of Concepts: Clarification of the important elements of the PES distinguishing the Logical Framework as an approach to organizing information about a project from the PES process for organizing AID people for constructive, output-oriented evaluation replanning; about the Logical Framework - it is worthwhile distinguishing the vertical dimension of the Logical Framework which provides useful concepts for project design referred to as GPOI Analysis (linked hypotheses, explicit assumptions, and manageable interest versus development hypotheses) and the horizontal dimension of the Logical Framework which helps managers to be more precise and explicit for designing, managing, evaluating, and communicating about their projects.
- (b) How to Prepare a Logical Framework: System requirements should be distinguished from acceptable variations and personal style in using the PES, and
- (c) A Glossary: specialized terminology should be updated.

The materials of instruction used in cluster training and mission installations can and should be improved. The "Kenya Radio-Correspondence Education Project" was useful for teaching PES concepts but it raises many questions that are not easily answered in the compressed training sessions. The examples of Logical Frameworks in the evaluation guidelines are not exemplary by the standards of July 1971 and should be replaced

with exemplary Logical Frameworks worthy of emulation by Mission personnel. The forms for the Logical Framework and worksheets can also be improved now based on extensive field experience.

Activity Three - Extend PES Training to People Not Adequately Trained in Fiscal Year 1971

(Related comments are in Chapters II-B.7, and III-A.1.6)

Training to use the PES has not reached the entire community of AID, PASA, and contractor personnel who will be directly involved in project evaluations. In particular, there are many people in AID/W who will be rotated to the field who have had no experience or only modest exposure to PES concepts and process.

For AID personnel who will be using PAR's or PROP's in Washington or the field, the training objectives should be sufficient familiarity with PES concepts and process to deal appropriately with personnel and documentation using PES concepts. One-half day of training should be sufficient for most AID trainees. For people who manage and evaluate projects or supervise project managers, the training objective should be ability to use PES concepts and recognize inappropriate use by others. The objective for training designers should be to achieve this ability in one day of training for at least 90 percent of AID trainees.\*

Activity Four - AID/W Support for Mission Evaluation Officers

(Related comments are in Chapters II-B.8, III-B.3, and III-B.7)

USAID Missions were encouraged to call on AID/W evaluation staff and the Regional Evaluation Officers for help in managing their mission-useful evaluation system. Several kinds of help appear appropriate, as described in the following.

\*A common design specification for training programs is for 90 percent of the trainees to score 90 percent or better on a pre-specified test.

(a) Efficient feedback on recent improvements in evaluation.

Successful institutionalization of PES will require continuing injections of energy and ideas at AID/W and the USAID evaluation communities. The evaluation activities of Fiscal Year 1971 have created an evaluation community - a group of people bound together by their professional involvement and interest in, and responsibility for evaluation of AID-supported activities. These people are located around the world in remote developing nations. In these decentralized locations evaluation officers are experimenting and innovating as they use the project evaluation system. An efficient system for collecting and exploiting the experiences of these decentralized evaluation officers will provide motivation for systematic experimentation (publicizing successful experiments) and will stimulate other evaluation officers to emulate techniques that appear to have transfer value. Further, the growing literature from outside the Agency should be summarized and circulated to MEOs. It is easy for the Mission Evaluation Officer in a remote Mission to feel abandoned and inadequately prepared for demands of his Mission; what is needed is: (1) a system to collect and disseminate experience with improved evaluation techniques and, (2) injection of new initiatives helping the MEO to make evaluation increasingly useful to his Mission management.

(b) A pool of in-house and contractor advisors.

AID/W should be ready to respond to mission requests for help; e.g., to help evaluate and replan an embryonic population program that is managed temporarily by the Food for Peace Officer; or provide quantitative skills to make a meaningful management plan using demographic data; or provide an experienced evaluation officer to help break in a new Mission Evaluation Officer; or support a particularly difficult but important evaluation.

(c) Recruitment and placement of Evaluation Officers.

There is an increasing pool of trained evaluation officers. AID/W will do a service to both parties by recruiting able

candidates for evaluation posts and developing suitable career paths for evaluation officers.

Activity Five - Ensure Appropriate Use of Evaluation Data by AID/W

(Related comments are in Chapters III-A.2 and III-B.8)

AID/W users of PAR's and Logical Frameworks need criteria, standards, and information to guide them in appropriate use of evaluation data. Such users include Development Planning officers, desk officers, technical support divisions, and, of course, the evaluation community. At present there is uncertainty about what to look for in PAR reports on evaluation, ambivalence on how to use evaluation data when important decisions must be made about the merits of the project, and lack of confidence about how to be supportive and genuinely helpful to "MEOs."

Activity Six - Guidance for Mission Directors (and other policymakers) on Getting Benefits from Evaluation

(Related comments are in Chapters III-A.2 and III-B.7)

The training in Fiscal Year 1971 was oriented to Evaluation Officers and Project Managers; it emphasized the roles and responsibilities of the Project Manager and of the Mission Evaluation Officer, rather than of the Mission Director and policymakers who use the results of evaluation for higher level management decisions. PES is a flexible tool for management that can be adapted to varied management styles. It would be useful to develop a short, realistic training session for Mission Directors emphasizing the options available for using it, important choices, and real examples of how evaluation has been useful to other Mission Directors. This training could be used at Mission Director's conferences or for briefing high level managers in Washington. A one hour briefing package would be the minimum briefing. A one-half day session would be sufficient to include formal presentation and moderated workshop material. Hard copy should be available to take away. The training objective would be for each Mission Director to recognize opportunities in his own mission to use his Mission Evaluation Officer for management improvement.

Activity Seven - Train Mission Evaluation Officers  
to Improve Their Professional Skills

(Related comments are in Chapters III-A.2, III-B.5,  
and III-B.7)

There must be continued training for Mission Evaluation Officers in order to consolidate the advances in evaluation. The AID system of job rotation requires training for new Mission Evaluation Officers as they join the evaluation community. Mission Evaluation Officers should have at least one opportunity each year to exchange information with other Evaluation Officers either at a conference or training session. In addition, new skills should be introduced systematically to upgrade the professionalism of new and old Mission Evaluation Officers. Training for new Mission Evaluation Officers can be done in Washington prior to assignment to the field, through tutorial assistance on the job, or immediately prior to an evaluation conference at a special "pre-session" training course.

B. ACTIVITIES FOR EXPLOITATION OF PES CONCEPTS AND  
FURTHER EVOLUTION OF EVALUATION IN AID

Activity Eight - A Systematic Multi-Year, AID/W Supported Program  
to Improve Evaluation in AID (Related comments are  
in Sections III-A.2 and III-B.6.)

AID's evaluation community has demonstrated that it can initiate and implement important management improvements by developing the Logical Framework and the PES process for evaluation/replanning, and implementing them in FY1971 Mission installations. The evaluation community can and should capitalize on its forward momentum to initiate and implement other important improvements in FY1972 and future years.

The task of the AID/W evaluation staff is to identify evaluation problems that (1) offer high potential for management improvement, (2) are unlikely to be dealt with adequately by isolated Mission-supported efforts, and (3) can be improved substantially by a well-managed attack coordinated by the AID/W evaluation community. The recommended strategy

is to select and attack an important problem each year. The "organizing theme" or "new initiative" for the year would facilitate a major, coordinated, well-managed effort without precluding other improvement efforts in AID/W and the Missions.

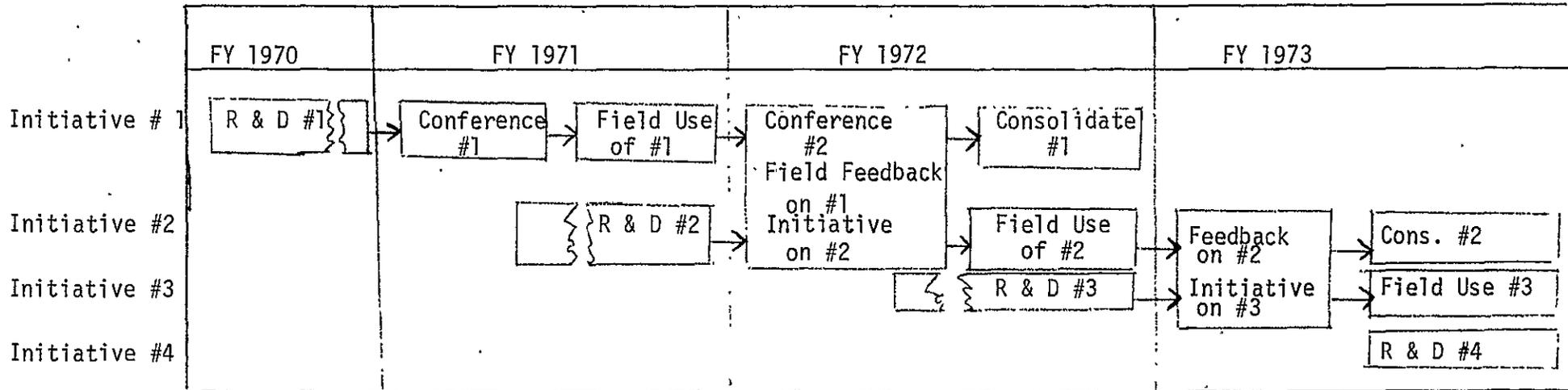
With careful planning the annual "new initiatives" can be coordinated into a systematic, multi-year program to improve evaluation as a tool for management. A systematic program to improve evaluations in AID is flow charted in Exhibit V-1. The program is to introduce an important improvement for field use each year, based on prior research and development, and followed by decentralized use in USAID missions. An evaluation conference (or series of conferences such as those of FY1970 and FY1971) would be used to introduce each "new initiative" to Mission Evaluation Officers. The conference of the following year would be the next used to introduce improvement and also to systematically obtain feedback from Mission Evaluation Officers about their year of experience with the initiative of the preceding year. This approach would make every conference a genuine dialogue; USAID participants would share their experiences with the rest of the evaluation community and at the same conference each would receive new stimulation for evaluation in his own Mission. Once Initiative #1 has been field-tested for a year, and that field experience collected at Conference #2, the experience should be analyzed, including improvements in theory and practical experience using it, and written up for widespread distribution to consolidate the advance in "evaluation science". This pattern of systematic introduction of improved practices would result in an annual cycle of conferences, an annual cycle of publications consolidating each important improvement, and an annual cycle of initiating research and development activities to prepare for the new initiative of the following year.

If the proposed model for AID/W-supported evaluation improvements is accepted, the evaluation community is at least half a year behind schedule on selecting an "organizing theme" for FY1972. In order to help crystalize AID/W thinking, "The Use of Evidence and Alternatives in Evaluation" is suggested as a possible "organizing theme" for AID/W efforts to improve evaluation for FY1972. Why?

EXHIBIT V-1

A SYSTEMATIC MULTI-YEAR AID/W SUPPORTED PROGRAM TO  
IMPROVE EVALUATION IN AID

Practical Concepts Incorporated



Initiative #1 = the Logical Framework and the PES process.

Initiative #2 = A possible topic is "The Use of Evidence and Alternatives in Evaluation")

"The Use of Evidence in Evaluation" without considering alternatives would embrace a variety of important problems. MEOs need practical guidance on "how to get appropriate evidence at an acceptable cost" and "how far to go" in developing rigorous evidence. Focusing attention on the use of evidence will help USAID managers after they have articulated the intended results of their projects in column one of a Logical Framework. The PES process requires "objectively verifiable" evidence for planning and evaluation but it is often not clear what kind of evidence is appropriate and necessary for management of different kinds of projects. How can data collection be made easier, cheaper, and more fruitful? (e.g., practical guidance on good evaluation designs, sampling, baseline data, and control groups). What evidence must be available for good management decisions later in the project? e.g., In a pilot project, what evidence must be available for management to decide if additional resources are justified? Help is needed for making time phased work plans, building in option points, avoiding collection of data with marginal value, and ensuring availability of crucial information about high risk issues. Help is needed for objective verification of "quality standards" and "measures of institutional maturity".

"The Use of Alternatives in Evaluation" also deserves attention in FY1972. Proper use of the PES process and the Logical Framework should yield an internally consistent project design that clearly describes the intent, expectations, etc. of the project team. But internal consistency does not ensure the current strategy is more efficient than alternative approaches to the same goal or project purpose.

The Logical Framework can be used to encourage thinking about alternatives to the current strategy by emphasizing that the results expected at each level of the Logical Framework could be produced by an alternative approach at the next lower level. However, this use of the Logical Framework has not been emphasized in Mission installations nor in AID/W.

AID evaluation officers need guidance on how to broaden the perspective of a project team. Which alternatives are worth developing? What depth of analysis is good enough? How much time and money should go to examining alternatives? What is the best way to handle alternatives that the project team considers threatening? What support from AID/W will be desired by USAIDs? What should AID/W do on its own initiative to encourage or ensure consideration of important alternatives?

There are no easy pre-packaged answers for practical approaches to "The Use of Evidence and Alternatives in Evaluation of AID-Supported Activities." It will be necessary to be experimental and pragmatic approaching the problem--culling existing material from the evaluation literature, formulating practical approaches, testing them, and drawing appropriate conclusions for widespread use.

The long lead item for AID/W is to agree upon an organizing theme for FY1972. If "The Use of Evidence and Alternatives in Evaluation" were selected as the new initiative for FY1972, work should begin immediately to develop intellectual concepts, practical approaches, and evidence of usefulness that are worthy of presentation to Mission Evaluation Officers in the FY1972 conferences. It may be necessary this year to offer material that is "more tentative" than is desirable because of on the short time for preparation of fresh material. An "organizing theme" for FY1973 should be selected by spring of 1972 and R & D work started promptly. Even if FY1972 conferences are scheduled as late as November and December of 1971, preparation should begin not later than August, 1971.

Activity Nine - Analyze and Improve Evaluation of Other Kinds of AID-Supported Development Assistance (Related comments are in Section III-B.9.)

Significant effort should go to improving evaluation of AID-supported activities other than non-capital projects. In FY1970 twenty-eight percent of AID commitments went for Technical Assistance projects, eighteen percent for capital assistance projects, forty-four percent for non-project assistance, and the remaining ten percent was distributed among many small items.\*

Wherever there are major expenditures; there is a prima facie case that those expenditures should result in important development impact, with evidence documenting the impact. That is, managers should plan and evaluate based on the expected impact, what we can do to bring it about, outside conditions necessary to achieve the impact, and our confidence that all the necessary conditions will be fulfilled. To the extent feasible, evidence should be produced to document that the AID-supported activity did bring about the expected results. When this information is not available to management, the evaluation community should presume that systematic evaluation can be useful to management and analyze what practical benefits might be forthcoming from improved evaluation.

The AID evaluation community should analyze the need for improvements in evaluation of:

- Capital assistance projects;
- Program assistance;

\*All estimates are based on FY1970 AID commitments as reported in Operations Report - Data as of June 30, 1970, Agency for International Development FY'70 (Office of Statistics and Reports, Bureau for Program and Policy Coordination) June, 1971, p. 27ff.

- Sector loans;
- Washington based projects;
- Assistance through international organizations and other intermediaries;
- AID-supported research;
- Disaster relief and other humanitarian assistance;
- Voluntary agency programs;
- Private enterprise assistance;
- Food for Peace programs; and
- Other categories of development assistance that might benefit from systematic analysis and use of evidence about past experience to facilitate replanning and management improvement.

The Project Evaluation System described in this report has been used to a limited extent to evaluate other kinds of assistance. Evaluated in the course of the Mission installations were one Title II Food-for-Peace project, one capital assistance project (loans for agricultural production), 11 mixed capital/non-capital projects, and several complex programs composed of more than a single project. The Technical Assistance Bureau is currently using the PES concepts and process to analyze approximately 240 projects for General Technical Services, Research, and 211(d) Institutional Grants. Several Missions indicated their intent to use PES for capital projects and sector programs even though they were not required to do so. These limited applications of PES may be helpful data points for identifying where PES has transfer value and where another evaluation approach is more appropriate.

Activity Ten - Management Improvements Exploiting Concepts from the Project Evaluation System (Related comments are in Section IV-B.1.)

PES concepts, including the Logical Framework were expected to result in important related management improvements. Several examples of potential transfer value that merit testing are the following:

- (a) PROP's: The Logical Framework has already been incorporated into the PROP for improving project funding decisions. The evaluation community should provide continued support since improving the PROP is valuable for its own sake and because it reinforces the relevance of PES.
- (b) Contracting: Contracting by AID could be modified to exploit PES concepts: the potentially fruitful concepts that should be explored and tested on an experimental basis for AID contracts include the distinction between the manageable interest and development hypotheses, the emphasis on impact and objectively verifiable evidence of that impact, and the approach of "managing managers" by controlling at the purpose level rather than simply auditing for compliance.
- It should be recognized that AID agreements with host governments via ProAgs are contracts with important similarities to contracts with universities, intermediary organizations, participating agencies, and private enterprises.
- (c) Non-contractual Coordination of AID Activities with Other Donors, Host Governments and Other U.S. Agencies: AID has a variety of non-contractual relationships in which it depends on other parties to supply ingredients necessary for the AID projects to have impact. U.S. foreign policy now emphasizes increasing use of multi-lateral agencies, host governments and intermediaries to set strategy and fulfill increasing responsibilities for assistance to developing countries. These developments increase the importance of effective coordination of AID efforts with those of other parties. PES concepts, including the Logical Framework, are likely to be particularly useful for coordination of several donors or organizations in a single program that is well managed. Relevant PES concepts include: making explicit the purpose of project activities and how each project fits into a larger program, and the extent to which individual projects are dependent on other actions by the host government.
- (d) Time Phased Work Plans: "Terminal conditions" were emphasized in the project evaluations of FY1971 although "interim targets" and "time phased work plans" were developed in many cases. At least one mission was eager for additional assistance in using the PES concepts to improve project management and was disappointed that there was no pre-packaged product available.

The evaluation community can help managers develop meaningful interim targets for evaluation; this work would yield as an important by-product time-phased work plans that would facilitate good management during the implementation stage.

Activity Eleven - Evaluation Bearing on "Bigger Issues"  
(Related comments are in Sections III-B.9 and IV-B.2.)

Managers in AID/W and USAID Missions have commented that clarifying project designs was revealing the need for better planning, evaluation and replanning at the sector level and above. The Project Evaluation System has improved management of development activities by beginning at the lowest level of management (the Project Manager) and reaching up to relate these projects to sector programs, country programs, regional bureau programs, and agency-wide plans. The evaluation community should consider how to make evaluation directly useful to the problems that concern managers at higher levels. The evaluation community should presume that analytical rigor and use of evidence will yield even greater benefits when used for "bigger problems". As a minimum, there should be exploratory efforts to use evaluation on "bigger problems" in addition to continued evaluation work at the project level. Several possible exploratory efforts are outlined below.

Sector Level

- (1) The FY1971 experience of the Latin America Bureau with sector evaluations can be regarded as an exploratory effort that should be analyzed for the benefit of the entire Agency.
- (2) An important sectoral program should be analyzed using the GPOI Approach to clarify the program design and evaluate progress toward achieving an important program goal.

### Country Programs

Exploratory effort in evaluation at the country level should be made in circumstances where it will be welcomed by Mission management. Perhaps important changes are being considered and the effectiveness of foreign assistance is an important factor in forthcoming decisions; that is, the decision is not a foregone conclusion because of foreign policy, political, or military considerations.

### Bureau- and Agency-Wide Planning

U.S. foreign assistance to developing nations may be reorganized soon to better assess the effectiveness of our aid for development, humanitarian, and supporting assistance objectives. Exploratory efforts should be directed to evaluating selected current activities with respect to humanitarian and supporting assistance objectives. What lessons are to be learned from our past efforts with humanitarian assistance? Since the need for humanitarian assistance typically arises without warning and requires quick response, to what extent can we anticipate what will be needed? What can be realistically expected as results of humanitarian efforts? How are U.S. national interests served by "supporting assistance" activities? Can evidence of effectiveness be built into planning and evaluation of activities with political objectives?

### Issues Relevant to Transition Planning

- (1) Effectiveness of foreign assistance without USAID Missions. How effective have AID-supported activities been in countries without USAID missions? AID has experience that could provide analysis and evidence for policymakers.
- (2) Analyze use of evaluation for feedback about assistance through intermediary organizations. It has been recommended that more U.S. assistance be channeled through multi-lateral organizations but the U.S. Congress is concerned about losing control over this assistance. Multi-lateral organizations are jealous of their autonomy and resist detailed management by the United States Government. To what extent can

evaluation be used to respond to the legitimate concerns of the U.S. Congress about effectiveness and good management by multi-lateral organizations without offending the sensitivities of the multi-lateral organizations? Perhaps it would appear reasonable and sufficient to both parties for the multi-lateral organizations to develop an effective evaluation system with reports to all members of the organization (including the USA) on the impact of its programs compared to the original results expected?

The AID evaluation community might assess the feasibility of such an approach together with one multi-lateral organization or other intermediary. Developing evidence and analysis about specific programs of the multi-lateral organization would provide experience to guide policymakers in the U.S. government and also in the multi-lateral organizations.

Activity Twelve - Evaluation of Classes of Projects  
(Related comments are in Section III-B.7.)

A fresh start is justified today on classifying development activities systematically and producing useful indicators for evaluation and planning. Evaluation activities in FY1971 have generated a new body of information that has unusual claim to validity (accurately reflecting the Mission's perception of projects), relevance, and appropriateness for testing developmental hypotheses. Testing of causal relationships within classes of development projects probably will prove unfruitful until USAID managers understand that better use of evidence and alternatives will improve their projects and that there are important lessons to be learned from experience elsewhere. A more modest but useful way to start is to group projects into meaningful classes and identify indicators or clusters of indicators that will be useful for planning, managing, and evaluating such projects.

The issue for AID today is the usefulness and feasibility of comparative evaluations now. Some AID managers have been skeptical about the feasibility of one mission manager learning much that is useful to him from evaluating experience in other missions. On the other hand, at least one experienced manager visualizes great potential value in a master file of project designs and evaluations that could be used by other project designers, evaluators, and reviewers for planning and evaluation.

An appropriate initial objective would be to provide MEOs with Logical Frameworks from different classes of projects that would be helpful in many Missions. The PES, using GPOI analysis, facilitates the use of similar measures and the same methodology for comparative evaluations. The first step to comparative analyses would be grouping projects together into classes that can benefit from shared experience and examining project designs, the planning and evaluation indicators, and the assumptions. At that stage it will be possible to judge the potential benefits and costs from comparative analyses of projects in different places dealing with the same problem, e.g., acceptance of family planning practices in urban areas, or increasing adult literacy in rural areas.

C. AN ACTIVITY TO IMPROVE EVALUATION OUTSIDE AS WELL AS INSIDE AID

Activity Thirteen - Nurture an Evaluation Community Outside of AID  
(Related comments are in Sections II-B.11 and III-B.13.)

The long range objective of the AID evaluation community should be to ensure that advances in evaluation within AID will endure even if AID is reorganized. The appropriate activity for AID is to nurture an expanded

evaluation community including representatives of host and multi-lateral organizations involved in development programs in the developing countries. Specifically, the multi-lateral organizations, foundations, and groups from the LDCs with responsibilities for managing development activities could profit from AID experience in evaluation. It would be presumptuous to assume AID has nothing to learn about evaluation from these organizations. Everyone would benefit from collaboration.

The plans for reorganization of foreign assistance emphasize coordination of U.S. assistance with multi-lateral organizations and host governments as well as intermediary bodies, granting institutions, PASAs. The emphasis in foreign assistance will be unification by a "programmatic control" -- a common understanding of objectives, instead of a burdensome hierarchical structure. Such an understanding would be promoted by using PES concepts and systematic evaluation if AID's evaluation approach were familiar to the other organizations too.

AID activities to create a larger evaluation community can be made at various levels of effort:

- The lowest level of effort is to invite host country and other donor representatives to discuss evaluation of projects and programs of mutual interest. This might involve opening some AID evaluations and conferences to outsiders.
- Joint planning and evaluation exercises using the Logical Framework approach, or at least testing it, could start useful dialogues.
- AID could provide LDC governments technical assistance in evaluation and related management skills.
- An evaluation conference separate from the sessions for Mission Evaluation Officers could be used to coordinate evaluation activities of donor organizations and LDC governments.
- Creating a specialized Development Evaluation Institute to serve organizations managing LDC development activities would "institutionalize" advances in evaluation. A Development

Evaluation Institute, if created, probably should be an independent organization that can serve any or all AID successor organizations, coordinating their evaluation activities but responding to their individual needs. It might also serve multi-lateral organizations and LDC governments as a professional organization separate from the United States Government. There is ample precedent for governments to use independent organizations such as the Brookings Institution, the RAND Corporation, and the Urban Institute for disinterested analysis of public policy problems.

The cost to the United States Government of creating a Development Evaluation Institute probably would be modest indeed. Little would be required beyond (i) a study to define an appropriate objective and structure for the institution, (ii) creating a demand for its services through contracts for evaluation services, and (iii) ensuring good management of the organization. Nurturing a Development Evaluation Institute would create an intermediary organization outside of the United States Government dedicated specifically to performing services needed for well managed assistance to developing countries. The institution might serve a useful role in coordinating complex programs and providing disinterested feedback to all parties about progress in development programs; it might also ameliorate the problems of channeling U.S. funds through multi-national organizations.

The first step would be for AID/W to commission a study of the feasibility of a Development Evaluation Institute.

CHAPTER VI  
RECOMMENDED ACTIONS

Chapter Six presents a strategy for evaluation activities in FY'72. Section A makes explicit important assumptions and judgments about the future for evaluation of U.S. foreign assistance. Section B summarizes three alternative strategies. Section C presents PCI's recommended strategy for improving evaluation.

A. ASSUMPTIONS AND JUDGMENTS ABOUT EVALUATION OF ASSISTANCE TO DEVELOPING COUNTRIES

Recommendations for the AID evaluation community are necessarily influenced by assumptions and judgments made about the future for evaluation of U.S. foreign assistance. The following assumptions are made explicit because of their bearing on the recommendations that follow:

1. U.S. foreign policy will continue to include foreign assistance to LDC's;
2. There will be continued emphasis and good management and evaluation;
3. Reorganization of AID should be expected but probably not until 1973 or later and not necessarily in the form recommended by the Peterson Committee;
4. Bilateral non-capital projects will continue to be an important component of U.S. foreign assistance but other kinds of assistance will continue to receive more funds;
5. AID's Project Evaluation System already has proved useful to managers in Missions and AID/W. However, evaluation could be more useful to high level managers in Missions and AID/W if it related directly to problems they consider more important than management of individual non-capital projects.

B. ALTERNATIVE STRATEGIES FOR THE AID EVALUATION COMMUNITY

Three alternative strategies should be considered by the AID evaluation community in FY'72:

1. A Holding Pattern - Support activities to consolidate PES but no new initiatives until the proposed reorganization and its implications for evaluation are clarified. Activities 1-7 are appropriate for Strategy 1.
2. Proceed Assuming Continuity - Start new initiatives that would be appropriate without a reorganization, anticipating delays in reorganization and similarity of future evaluation needs to present needs. Activities 1-12 are appropriate for Strategy 2.
3. Anticipate Changes Caused by Reorganization - Start new initiatives now to prepare for foreseeable evaluation needs during and after transition to a reorganized foreign aid program. Activities 1-13 are appropriate for Strategy 3.

These three strategies differ in the level of effort for new initiatives to improve evaluation in FY1972. Strategy number one, the "holding pattern" strategy, would suggest supporting a minimum program to consolidate the present PES system, that is, activities one through seven:

1. Follow-up Visits to USAID's
  - a. Collect evidence of PES institutionalization. (Purpose Level);
  - b. Collect evidence of improvement in project plans and performance (Goal Level);
  - c. Problems and opportunities to be dealt with in FY1972 with help needed from AID/W.

2. Perfect PES Concepts and Process and Update Materials
  - a. Refinement of Concepts;
  - b. How to prepare a Logical Framework;
  - c. Glossary;
  - d. Improved instruction materials, worksheets, forms.
  
3. Extend Training to People Not Adequately Trained in FY'71
  - a. USAID
  - b. AID/W
  
4. AID/W Support for MEOs
  - a. Efficient feedback on recent improvements in evaluation;
  - b. A pool of in-house and contractor advisors;
  - c. Recruitment and placement of MEOs.
  
5. Ensure Appropriate Use of Evaluation Data by AID/W

Develop criteria, standards, and information to guide REO's, DP officers, desks, and evaluation community.
  
6. Guidance for Mission Directors (and other policymakers) on Getting Benefits from Evaluation

Training oriented to management users of evaluation data.
  
7. Train MEOs to Improve Their Professional Skills

Training for new MEO's at pre-session before evaluation conference or substitute.

Strategy number two, the "Proceed Assuming Continuity" strategy, suggests a more ambitious evaluation program including five additional activities to improve management of AID-supported development assistance.

8. A Systematic Multi-Year, AID/W-Supported Program to Improve Evaluation in AID

- a. AID/W supports improvements focused on an "organizing theme" each year; a cycle of R & D, evaluation conference for field introduction, field testing, feedback, and consolidation of progress. (See Figure V-1).
- b. Proposed Organizing Theme for FY1972: "The Use of Evidence and Alternatives in Evaluation".

9. Analyze and Improve Evaluation of Other Kinds of AID-Supported Development Assistance

Analyze the need for improvements in evaluation of: capital assistance projects, program assistance, sector loans, Washington based projects, assistance through international organizations and other intermediaries, AID supported research, disaster relief and other humanitarian assistance, voluntary agency programs, private enterprise assistance, and Food for Peace Programs.

10. Management Improvements Exploiting Concepts from the Project Evaluation System

- a. PROP's;
- b. Contracting;
- c. Coordination with other donors, host governments, and other U.S. Agencies;
- d. Time-phased work plans.

11. Evaluation Bearing on "Bigger Issues"

Example No. 1 - Evaluate a Complex Sector program consisting of more than one project.

Example No. 2 - For transition planning, evaluate effectiveness of AID-supported activities in countries without USAID Missions;

Example No. 3 - Analyze use of evaluation for feedback about assistance through intermediary organizations.

12. Evaluation of "Classes of Projects"

- a. Develop on an experimental basis, criteria, standards, and information useful to project designers and evaluators.

Strategy number 13, the strategy of "Anticipating Changes Caused by Reorganization", suggests adding Activity 13 to the previous list.

13. Nurture an Evaluation Community Outside of AID

- a. Invite outsiders to discuss evaluations of common interest. Share AID advances in evaluation with outsiders;
- b. Joint planning and evaluation;
- c. Technical assistance to LDC government in evaluation;
- d. Separate evaluation conference for host and other donor representatives;
- e. Study the feasibility of a Development Evaluation Institute for LDC development activities.

### C. THE RECOMMENDED STRATEGY FOR IMPROVING EVALUATION

The potential benefits of implementing a strategy should be weighed against the risks implicit in failing to implement the strategy as well as the cost of implementation.

Strategy 1: The potential benefit from consolidation of PES without new initiatives is completed institutionalization of PES. Provision is made for diagnosis of shortfalls (follow-up visits) and strengthening the areas of possible vulnerability (refine PES concepts and materials; additional guidance to PES users including MEOs, USAID managers, Mission Directors and AID/W).

The cost (in addition to the time and expenses of the AID evaluation staff) to implement strategy one is estimated at \$100,000 to \$200,000.\* The variation depends on the extent of training, with the low estimate including FY 1972 Evaluation Conferences that only aspire to consolidate PES.

The risk implicit in failing to consolidate PES is a gradual degradation of PES concepts and process. There is a momentum that will carry PES through FY 1972 in most Missions and use of the Logical Framework for project design is probably already secure. The risks are that concepts would be corrupted over time, trained people would be replaced by untrained, and failure to remedy flaws as they appeared would discredit PES as a Mission-useful management tool.

Strategy 2: The potential benefit from additional activities to improve evaluation in AID is increasing the relevance, and therefore the use, of evaluation to improve management at all levels. The proposed activities would: improve PES through improved use of evidence and alternatives; analyze how to improve evaluation of other kinds of assistance where PES is not used; exploit PES concepts for PROPs (project funding decisions), contracting, coordination, and time phased work plans; direct evaluation effort to management of sector programs and agency issues; and use evaluation data to analyze classes of projects.

\*Based on contractor and personal services assistance of up to six man-years.

The additional cost (in addition to the time and expenses of the AID evaluation community) to implement strategy two is estimated at \$250,000. This estimate includes significant investment in fresh material for FY 1972 evaluation conferences, plus defining and testing innovations in contracting, program evaluation, capital project evaluation, and evaluation of "classes of projects."

The risk implicit in failing to implement the additional activities in strategy two is an opportunity loss. The AID evaluation community has demonstrated that non-capital projects can be managed better because of PES. The concepts appear applicable to other important management problems.

The biggest potential payoff probably is increased effectiveness of AID-supported activities. The risk is losing the opportunity for promising management improvements.

Strategy Three - The benefit from nurturing an evaluation community outside AID is supporting U.S.-foreign policy to increase foreign aid to LDCs channeled through multi-lateral organizations, intermediaries, etc. Congress traditionally is loath to give up control over foreign aid. Effective evaluation systems may be an essential ingredient for satisfying Congress that foreign aid to LDCs is well managed and substantial support should continue.

The additional cost of strategy-three activities (in addition to the time and expenses of the AID evaluation community) is estimated at \$30,000 to \$100,000. The low estimate would include studying the feasibility of an independent Development Evaluation Institute. The high estimate would include a major collaborative effort between AID and a multi-lateral organization such as the OAS.

The worst risk implied by failure to implement strategy three activities is that funding for LDC's in future years would be jeopardized by Congress' lack of confidence that development assistance is being effectively and efficiently utilized.

PCI recommends that AID adopt strategy three - "Anticipating changes caused by Reorganization". This strategy is consistent with the assumptions in Section A. PES has been a breakthrough in improved management practices. There are important additional benefits to be reaped from additional investments in evaluation. PCI recommends that AID support all 13 activities described above. As a minimum, activities one to seven must be undertaken to consolidate the present PES system. Activities 8 through 12 are new initiatives to broaden and deepen the benefits of evaluation with AID. Activity 13 extends beyond AID by consciously nurturing a larger evaluation community outside AID. All the proposed improvements in evaluation can be started in the first half of FY1972. Time-urgent activities are follow-up visits (Activity #1) and identifying an organizing theme or "new initiative" for FY1972 (Activity #8). Activity 8 requires a long-time interval to provide reasonable assurance that the new initiative can be fully defined; Activity #1 should be started to ensure completion before evaluation conferences and other activities are launched.

The time and cost constraints of this contract preclude development of detailed plans for activities in FY1972. However, detailed plans can and should be prepared early in FY1972.

APPENDIX A

SUMMARY OF QUESTIONNAIRE FOR PARTICIPANTS IN  
THE ASUNCION EVALUATION CONFERENCE  
AND  
RESPONSES FROM PARTICIPANTS IN CLUSTER TRAINING  
IN BANGKOK AND ADDIS ABABA

APPENDIX A  
SUMMARY OF  
QUESTIONNAIRE FOR PARTICIPANTS  
IN THE  
ASUNCION EVALUATION CONFERENCE  
November 18 - 20, 1970  
(20 Questionnaires Completed)

1) Overall rating of usefulness of the evaluation system for your Mission:

|                   | POOR     |          | SATISFACTORY |          |          | EXCELLENT |          | NOT RATED |
|-------------------|----------|----------|--------------|----------|----------|-----------|----------|-----------|
|                   | <u>1</u> | <u>2</u> | <u>3</u>     | <u>4</u> | <u>5</u> | <u>6</u>  | <u>7</u> |           |
| No. of Responses: | -        | -        | -            | 2        | 7        | 6         | 2        | 3         |

2) Usefulness of Specific Tools:

|                                     | As they are now |      |           | further <sup>with</sup> refinement |      |           |
|-------------------------------------|-----------------|------|-----------|------------------------------------|------|-----------|
|                                     | Poor            | O.K. | Excellent | Poor                               | O.K. | Excellent |
| G P O I                             | -               | 7    | 11        | -                                  | 1    | 5         |
| Logical Framework Matrix            | 1               | 6    | 10        | -                                  | 1    | 1         |
| Worksheets - Part I                 | 5               | 11   | 2         | -                                  | 3+?  | 3         |
| Worksheets - Part II                | 3               | 12   | -         | -                                  | 5    | 2         |
| Mission Evaluation Review           | 1               | 7    | 10        | -                                  | 2    | 2         |
| PAR Report                          | 1               | 9    | 6         | 1                                  | 2    | 3         |
| Other (specify)<br>General Exercise |                 |      | 1         |                                    |      |           |

3) What were the most useful aspects of the Conference?

Workshops 15

4) What were the least useful?

Lectures 9

Lack of time for reading materials  
prior to workshops, etc. 3

Requirement for rating projects  
numerically 1

Workshops too short 2

5) Overall rating of conference success:

|                  | POOR     |          | SATISFACTORY |          |          | EXCELLENT |          | NOT RATED |
|------------------|----------|----------|--------------|----------|----------|-----------|----------|-----------|
|                  | <u>1</u> | <u>2</u> | <u>3</u>     | <u>4</u> | <u>5</u> | <u>6</u>  | <u>7</u> |           |
| No. of Responses | -        | 1        | 1            | 3        | 6        | 5         | 2        | 2         |

6) Are you confident you and the others from your Mission can install the system at your Mission:

|   | Yes       | No       | ?        |
|---|-----------|----------|----------|
| -- Without further assistance               | <u>5</u>  | <u>7</u> | -----    |
| -- With the planned week o/AID/W assistance | <u>15</u> | <u>1</u> | <u>1</u> |
| -- With other help requested below          | <u>2</u>  | -----    | -----    |

7) What special help does your Mission need to implement a "Mission useful" process?

None (2), or not sure yet (5) 7

1 Week AID/W Team visit 5

Active support and prompt re-  
sponse from AID/W 2

PCI/AID 2 week visit (Brazil) 1

Training Session at USAID for  
Project Managers 1

8) Might this system be usefully extended to:

|   | As is | With modification | Don't Know |
|---|-------|-------------------|------------|
| Program evaluation                                    | 9     | 8                 | 1+?        |
| Sector and program loans                              | 4     | 14                | 1          |
| Other project design                                  | 1     |                   |            |
| Project development                                   | 1     |                   |            |
| Loan projects combining TA & capital project elements |       | 1                 |            |

9) Recommended improvements in the evaluation system/approach and other comments on the system or conference.Selected Responses

- More time required -- specifically for workshops. 4
- Perhaps forms which allow design of projects with multi-goals, purposes, etc. 2
- Eliminate Page 2 of PAR and suggest removal of numerical ratings. 2
- Basic information should be given out in advance 1
- Some factors requiring ratings in worksheets need refinement, e.g., "understanding of project purpose." 1
- More emphasis on role of MEO and tools and techniques required to keep evaluation from becoming defense/offense exercises. 1

SUMMARY OF QUESTIONNAIRERESPONSES FROM PARTICIPANTS IN CLUSTER TRAINING IN BANGKOK AND ADDIS ABABA

(33 Bangkok; 26 Addis Ababa)

1. Do you understand the basic concept of the "Logical Framework" or GPOI.

Yes 58No 0Unsure 1

2. How would you score the proposed evaluation system approach in respect to its potential usefulness as an evaluation tool?

Excellent 11Fair 0Very good 23Poor 6Good 18Inadequate 0Abstained 1Bad 0

Comment if desired: See attached

3. Could you, with your current insight provide the training and support necessary to permit mission personnel to properly implement the Project Evaluation System as presented?

By yourself:

Yes 27No answer: 7No 0Unsure 16

With some assistance

Yes 11No answer: 15No 1Unsure 1Other: N/A

4. Briefly, what in your opinion is the major benefit of the Project Evaluation System in its current form.

See attached

5. What in your opinion is the major shortcoming of the Program Evaluation System in its current form?

See attached

6. Will mission personnel find the resultant PAR useful for their own purposes

|        |           |           |          |
|--------|-----------|-----------|----------|
| Yes    | <u>46</u> | Abstained | <u>1</u> |
| No     | <u>2</u>  |           |          |
| Unsure | <u>10</u> |           |          |

7. Would you please compare the Project Evaluation process as proposed at this conference with what you understand missions currently do in order to meet previous PAR requirements in respect to the following considerations:

\* The utility of the process and report to the project manager

|          |           |            |          |
|----------|-----------|------------|----------|
| more     | <u>47</u> | no answer: | <u>7</u> |
| the same | <u>5</u>  |            |          |
| less     | <u>0</u>  |            |          |

\* The utility of the process and report to the mission evaluation officer.

|          |           |            |           |
|----------|-----------|------------|-----------|
| more     | <u>33</u> | no answer: | <u>11</u> |
| the same | <u>10</u> |            |           |
| less     | <u>0</u>  |            |           |

\* The utility of the process and report to the mission Director or his deputy

|          |           |            |           |
|----------|-----------|------------|-----------|
| more     | <u>41</u> | no answer: | <u>10</u> |
| the same | <u>8</u>  |            |           |
| less     | <u>0</u>  |            |           |

8 A Please rate the following concepts and instruments in respect to their anticipated usefulness in their current level of development

|                                   | Excellent | good | poor | bad | For comments, see attached exhibits | Abstained |
|-----------------------------------|-----------|------|------|-----|-------------------------------------|-----------|
| 1. GPO I *                        |           |      |      |     |                                     |           |
| 2. 4 x 4 logical framework matrix | 22        | 33   | 1    | 1   | Exhibit p                           | 2         |
| 3. Work sheets Part I             | 8         | 43   | 1    | 0   | a                                   | 2         |
| 4. Work sheets Part II            | 11        | 41   | 6    |     | r                                   | 1         |
| 5. The mission evaluation review  | 13        | 33   | 3    |     | s                                   | 6         |
| 6. PAR Report                     | 14        | 41   | 1    |     | t                                   | 3         |

\* Because of the mistake in the heading only five persons evaluated the GPOI. All rated it excellent.

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- 8 B If you rated any of this preceding less than good would you please indicate your opinion of how much more refinement or development analysis would be required to raise the rating to a minimum score of good.

|                                   | <u>Minimal</u> | <u>Moderate</u> | <u>Extensive</u> |
|-----------------------------------|----------------|-----------------|------------------|
| 1. GPO I                          | 1              | 1               | 2                |
| 2. 4 x 4 logical framework matrix | 1              | 1               |                  |
| 3. Work sheets Part I             | 1              | 4               | 1                |
| 4. Work sheets Part II            | 3              | 2               | Eliminate        |
| 5. The mission evaluation review  |                | 5               | 1                |
| 6. PAR                            | 1              | 4               |                  |

Comments from cluster training questionnaires:

Question 2: How would you score the proposed evaluation system in respect to its potential usefulness as an evaluation tool?

"Logical steps will probably help technicians"

"Reaction here might change after we actually do it in the mission."

"If it can be sold to and communicated to Project Managers"

Usefulness in regard to complex institution building projects has not, in my opinion, been demonstrated. There is also a bias toward quantitative measurements. I feel that some very important qualitative factors are going to be slighted, inevitably."

"Time pressures require that process be something other than exhaustive, i.e., it must be relatively superficial. This is not bad in an action context."

"I believe some greater attention is needed to focus the efforts at evaluation on specific action proposals related back to the findings of the work sheets."

"If properly used by mission management and AID/W" - good."

"The system as designed is excellent. Usefulness depends on whether the resulting workload as required by AID/W to implement and operate the system is such that missions will not or cannot implement the system as it should be to gain the maximum benefits."

"If integrated into documentation (PROP) system and entire system does not generate unacceptably high time requirement so that paper-work detracts from time available to think and manage."

"Difficult to make a judgement without more experience in using the system, but I suspect with use, my rating would move up to 'excellent' [his rating was 'very good']."

"With the understanding that the few minor inconsistent or ambiguous 'bugs' are worked out [rated Excellent]."

"The 'GPOI' does not exist for most projects. Its development will take time and requires processing of the initial evaluation and PAR over more than one year, given conflicting responsibilities and lack of time."

"Too project-limited -- Evaluation procedure should have sector and program aspects structured as integral part."

"Believe experience essential for a firm opinion. Somewhat uncertain -- in the context of purpose to goal. Purpose could be succeeding but no longer relevant." [abstained from scoring]

"But let us be realistic about the time the worksheets require and not 'kid' ourselves about a four-page PAR." [very good]

"Test will come in the burden of the evaluation plan." [very good]

"Let's get to it!" [excellent]

"I've got to translate what I've learned to our system implementation." [excellent]

Question 4: Briefly, what in your opinion is the major benefit of the Project Evaluation system in its current form?

"Apparent requirement to bring Mission director into the evaluation process.

Puts in easily identifiable form basic evaluation and planning concepts

Fairly simple. Mainly for USAID use.

A more logical approach.

Simplified and more specific

Allows for once per year reclarification of thinking on all aspects of project.

Develops a thinking process that can be useful.

Encourages logical, coherent project design, stimulates thought on part of project managers and others.

Good articulation of project design concepts and its intent to instruct concerned personnel (field and ??) in their use.

Focus of attention on all aspects in a logical framework.

Tends to force a proper evaluation to be done.

Comprehensive review of project

More precise measuring tool

Organizing one's thoughts about evaluation in a more useful manner

Requires concerned officers to focus in a systematic way on current status of project.

It will introduce to project managers the logical thought processes required for good program planning, and take them through the process step by step.

It makes the evaluation process action oriented and focuses everyone's attention involved in the evaluation process to the key elements of the project GPOIs.

Encourages systematic analysis

Provides much improved and expanded conceptualization of project ingredients and linkages.

Pinpoints thinking on major issues involved in project evaluation.

Improved communication among "initial mass" within Mission; hopefully, host country, i.e., from Project Manager through D[irector].

Framework, specificity, timetable.

It focuses your attention on fundamentals and induces you to rethink the logic of the project.

Disciplined approach for all to focus on.

It is a systematic approach which may be used as a tool or guide.

"Mission-useful"orientation.

Simplicity and clearly defined terms.

Raises fewer, but more meaningful questions.

Provides a common basis for discussion and approaching evaluation.

Provides systematic relationship between U.S. inputs and U.S. goals with periodic review in terms of specifics.

Helps the MEO through worksheets and explanations to walk the PM through the process.

Assists in providing guidance to project managers and other concerned Mission personnel to assure that all important aspects of project performance are given consideration.

A logical framework -- UNDERSTANDABLE and REASONABLE.

Conception and framework.

Shorter, more emphasis on GPOI. More useful to Mission.

It focuses attention on important issues and systematizes evaluation.

Clarifying the what and why of projects/programs.

Provides concrete evidence as basis for continuing, re-directing or modifying, and/or terminating.

To spur the mission into a logical project review and evaluation process on a constant basis, where little or nothing of meaning and significance now exists (in most missions, anyway).

'Mission-useful' concept with simplified reporting to AID/W

Concentration on mission usefulness and project implementation improvement.

Provides mechanism for focusing on project issues with greater clarity and efficiency.

It could contribute to improved project planning and management if it is integrated into the budget process without duplicating effort.

Helps to focus on major issues; helps to distinguish between verifiable "facts" and opinion.

Forces disparate elements of USAID to consider all aspects of project including goals, etc, and to rate their inter-relations.

The evaluation hopefully is a formal expression of action steps, previously possible, but not necessarily so.

Serves to focus new attention on evaluation as a process.

Systematizes information and carries through logical steps.

Quantifies clarified thinking.

Focus, cost, record.

Rigor.

Straightjacket for planning.

Clarifies steps, factions; systematizes evaluation thinking.

More useful in relation to project and program managers.

Focuses attention on an important function.

Uniformity of terms; uniformity of method.

Structure[s] the exercise; force[s] you to relate to different parts.

It separates output and input from Mission goals.

Question 5: What in your opinion is the major shortcoming of the Program Evaluation System in its current form?

Additional workload for a continued reduction of field staff

Demands on time. Perhaps a requirement that Mission Director suppress his authority and review session.

Could be mis-used by mission management and AID/W to judge project unfairly. Will add to workload of mission personnel - already over-burdened.

The implied increase in workload to revise PROP's, PIP's, fill out all the worksheet forms at a time when mission staff is decreasing and just after we've essentially completed the first round of PROP's, PIP's, PAR's at considerable expense to good project management.

Danger that it will become AID/W paper-work requirement increasing time required for documentation system.

It is not a program but a project evaluation system. Not sure that the PAR form itself is a mission useful document for evaluation purposes. Major question is whether time demands of system are not increased over alternate form of satisfactory evaluation.

No reliable estimate of time and effort required nor of cost vs. benefit.

Probably too laborious, but experience will indicate shortcuts.

Overkill with recommended paper work (e.g., worksheets, "matrix").

Too soon to tell. -- 5

Many boxes and gradations of opinion are presented but somehow it doesn't fall into recommendations in summary. The sophistication of the worksheets is not easily translated to final recommendations.

The worksheets should be refined more and shortened.

Still too complex in form and refinement of judgements.

It may prove to be cumbersome.

Excessive, non-usable detail.

Its newness, particularly in the employment of new vocabulary.

I get the impression that there is still considerable margin for "interpretation" of terms. Perhaps increased usage and familiarization will reduce this element.

Terms inadequately defined. You put too much into "purpose."

Insufficient focus.

Insulting to intelligence of normally thoughtful person.

Ability to determine effects of assumptions on project progress is more circumscribed than PCI presentation indicated.

I do not think the 'short form' will prove to be sufficiently informative for AID/W purposes. (less progress data, less memory bank value)

Too project-limited - evaluation procedure should have sector and program aspects structured as integral part; fails to take account of collateral changes in other agencies; client groups, etc., which affect project success or failure.

Country goals may change -- how to reconcile this with fixed goals of project.

The jump from project purpose to next highest goal is difficult to make.

Might involve some duplication with program papers. Some arbitrary.

There appears to be some duplication.

Provides no historical data.

PCI revised forms provide a conceptual tool for greatly improving AID project management. The concept of the Project evaluation system should be expanded to take into account other constraints that currently impair AID project management (quality and quantity of necessary staff).

Lack of tie in to budget process.

It is not a program evaluation system; it is a project system. Project must exist [referring to mistake in form]. It limits, unfortunately, the involvement of the host country.

Its name -- planning not evaluation.

Does not identify priorities, etc.

6. Comments on PAR Report Useful to Mission Personnel?

Note some ambiguities that effect worksheets. These raised in conference but not fully discussed or resolved.

If coordinated into documentation system, i.e., PAR should be modified to be the "PROP revision" or perhaps the new PROP format should integrate the new PAR. The new PAR standing alone and extensive PROP revisions still being required so project alterations would result in duplicative and excessive paperwork.

If viewed as an instrument to transmit the results of the evaluation to AID/W

O.K. as evidence of job done elsewhere.

Lacking in comprehensive picture of progress

Question 8A

2. 4x4 Logical Framework matrix

Believe three different versions appeared at conference.

Believe mainly useful as conceptual diagrams; too little space for setting down full purposes and goals.

As check list instrument, not as required paperwork

I have rated these not as "anticipated" usefulness, but as "possible" usefulness. There are still skeptics who will balk and unfortunately I feel they will not derive optimum usefulness from the process. Perhaps continual usage and assistance will eventually overcome this tendency [this comment aimed at questions 1-6]

Help the participants in systemizing their analysis.

This should represent a summary of Worksheets, part 1 for quick reference.

3. Worksheets - Part 1

As check list instrument, not as required paperwork

Help the participants in systemizing their analysis

4. Worksheets, Part 11

Some ambiguities in the headings which ought to be revised or clarified in instructions.

As check list instrument, not as required paperwork

Requires high degree of understanding of program process by project manager.

5. The Mission Evaluation Review

Over formalized for a small mission.

Looks fine in concept

Utility of the review depends upon how well it is conducted.

Needed more time in Group I.

8B

The tools are good. Their real value will depend on the analytical judgement used in preparing them.

APPENDIX B

PCI DEBRIEFING SHEETS ON THE MISSION INSTALLATION PROCESS  
AND  
PROJECT EVALUATIONS DURING MISSION INSTALLATIONS

## APPENDIX B

PCI DEBRIEFING SHEETS  
ON THE MISSION INSTALLATION PROCESS

(33 Missions Counting Recife, Brazil as  
a Separate Mission Installation)

## 1.1 General Identification Data

|            |            |
|------------|------------|
| Country    | Mission    |
| Project #1 | Project #1 |
| (title)    | (no.)      |
| Project #2 | Project #2 |
| (title)    | (no.)      |
| Project #3 | Project #3 |
| (title)    | (no.)      |

## 1.2 Understanding of and support for PES by Mission Management Participants (Policymakers and MEOs).

|                             | RATING OF UNDERSTANDING * |    |    |    |    |    | RATING OF SUPPORT** |    |    |    |    |    |
|-----------------------------|---------------------------|----|----|----|----|----|---------------------|----|----|----|----|----|
|                             | 1                         | 2  | 3  | 4  | 5  | NR | 1                   | 2  | 3  | 4  | 5  | NR |
| USAID POLICYMAKERS          | 7                         | 30 | 51 | 25 | 18 | 5  | 2                   | 10 | 35 | 43 | 42 | 4  |
| MISSION EVALUATION OFFICERS | 0                         | 4  | 6  | 13 | 14 | 0  | 0                   | 1  | 6  | 8  | 22 | 0  |

\*Scale for understanding: 1 = low understanding; 3 = able to discuss concepts appropriately; 5 = uses concepts appropriately and recognizes inappropriate use by others; NR = no rating due to inadequate information.

\*\*Scale for support: 1 = hostile to PES; 3 = accepts PES without enthusiasm; 5 = embraces PES as useful to himself and/or for others; NR = no rating due to inadequate information.

1.3 Participants (by name and title)

|   | <u>Understanding*</u> |   |   |   |   |     | <u>Support**</u> |   |   |   |   |     |                      |
|---|-----------------------|---|---|---|---|-----|------------------|---|---|---|---|-----|----------------------|
|   | 1                     | 2 | 3 | 4 | 5 | N/R | 1                | 2 | 3 | 4 | 5 | N/R |                      |
| 1 | 0                     | 1 | 4 | 2 | 1 | 3   | 0                | 0 | 3 | 5 | 0 | 3   | _____ (PASA)         |
| 2 | 1                     | 3 | 7 | 7 | 1 | 1   | 0                | 3 | 1 | 9 | 7 | 1   | _____ (CONTRACTOR)   |
| 3 | 2                     | 0 | 1 | 1 | 1 | 0   | 0                | 0 | 0 | 2 | 2 | 0   | _____ (OTHER DONOR)  |
| 4 | 3                     | 0 | 0 | 0 | 4 | 0   | 0                | 0 | 2 | 1 | 4 | 0   | _____ (HOST COUNTRY) |

\*Rating Scale: 1 = little knowledge; 3 = able to discuss concepts appropriately; 5 = able to use concepts appropriate and recognize inappropriate use by others; NR = inadequate information

\*\*Rating Scale: 1 = hostile to PES; 3 = accepts system without enthusiasm; 5 = embraces the system as useful to himself and/or others; NR = inadequate

1.4 Installation Team Members

\_\_\_\_\_ (PCI)

\_\_\_\_\_ (AID/W by Name and Title)

\_\_\_\_\_

1.5 Mission Receptiveness to Project Evaluation System (PES).

1.5.1 Initial Attitude of Mission Senior Management toward PES? Comment (if necessary).

11  
Skeptical
16  
Neutral or Mixed
6  
Favorable

1.5.2 Attitude at End of Visit of Mission Senior Management toward PES? Comment (if necessary).

0  
Skeptical
12  
Neutral or Mixed
21  
Favorable

- 1.5.3 Mission Senior Management found it Useful for Improving Programming and Project Implementation?  
Comment (if necessary).

|    |       |     |
|----|-------|-----|
| 0  | 5     | 28  |
| No | Mixed | Yes |

- 1.5.4 Mission Visit Indicates the Key Mission Staff Understand the Basic Concepts of PES.

|    |       |     |          |
|----|-------|-----|----------|
| 0  | 10    | 22  | 1        |
| No | Mixed | Yes | No Info. |

- 1.5.5 Mission Receptiveness to the New PAR Compared to the Old.

|    |       |     |          |
|----|-------|-----|----------|
| 0  | 10    | 22  | 1        |
| No | Mixed | Yes | No info. |

- 1.5.6 Are PAR's likely to accurately record Mission management decisions about project progress and necessary changes?  
Comment (if necessary).

|    |    |     |          |
|----|----|-----|----------|
| 0  | 13 | 19  | 1        |
| No | ?  | Yes | No info. |

1.6 Mission Installation Visit Impact

1.6.1 Was the Visit Necessary for Successful PES Institutionalization?

0                      33  
No                              Yes

Was the Time Sufficient?

8                      23                      0                      2  
Too Little                      OK                      Too Much                      No Info.

1.6.2 Rate the Importance of the Mission Visit on strengthening the Following Elements of the Mission's Evaluation System:

|  | Helpful | Important |
|--|---------|-----------|
| a. Selling Director and/or other senior management                       | 14      | 19        |
| b. Training MEO  | 7       | 23        |
| c. Presenting concepts to staff  | 14      | 19        |
| d. "Outsiders" (AID/W) participation in evaluation                       | 13      | 7         |
| e. Use of LF concepts in project design or design clarification          | 7       | 25        |
| f. Extending PES to new areas (complex projects; capital projects; etc.) | 7       | 7         |
| g. Mission Review  | 14      | 14        |
| h. Helping Mission with immediate problem                                | 9       | 9         |
| i. Other (specify)   | 1       | 3         |

1.6.3 Did the Mission Visit Result in Someone at the Mission Prepared to Manage a "Mission Useful" Evaluation Process?

|                       |                         |               |
|-----------------------|-------------------------|---------------|
| $\frac{0}{\text{No}}$ | $\frac{30}{\text{Yes}}$ | $\frac{3}{?}$ |
|-----------------------|-------------------------|---------------|

Who?

1.6.4 Will the Trained MEO Remain at Least Six Months After the Mission Visit?

|                       |                         |               |
|-----------------------|-------------------------|---------------|
| $\frac{3}{\text{No}}$ | $\frac{24}{\text{Yes}}$ | $\frac{6}{?}$ |
|-----------------------|-------------------------|---------------|

1.6.5 What Percentage of Time will MEO have for Evaluation Activities?

|                |                |                |                |                |                |                |                |                 |                             |
|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|-----------------|-----------------------------|
| $\frac{20}{4}$ | $\frac{25}{5}$ | $\frac{30}{1}$ | $\frac{40}{2}$ | $\frac{50}{6}$ | $\frac{70}{1}$ | $\frac{75}{1}$ | $\frac{98}{1}$ | $\frac{100}{2}$ | $\frac{\text{Unknown}}{10}$ |
|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|-----------------|-----------------------------|

1.6.6 Is that Enough to do Good Evaluations on All Projects Every Year?

|                       |                |                         |
|-----------------------|----------------|-------------------------|
| $\frac{1}{\text{No}}$ | $\frac{12}{?}$ | $\frac{20}{\text{Yes}}$ |
|-----------------------|----------------|-------------------------|

1.6.7. What Problems Were Encountered in the Mission Installation?

|   | Problem     |         |
|---|-------------|---------|
|   | Not Serious | Serious |
| a. Top Management Resistance                  | 10          | 7       |
| b. Project Team Resistance                    | 12          | 3       |
| c. Inadequate Time                            | 10          | 4       |
| d. Projected Workload for PES Implementation  | 18          | 3       |
| e. Inappropriateness of PES to Mission Needs  | 4           | 2       |
| f. Legitimate Competing Demands on Key People | 10          | 7       |
| g. Inadequate Preparation by Visitors         | 4           | 1       |
| h. Inadequate Preparation by Mission          | 4           | 4       |
| i. Other (specify)                            | 1           | 4       |

1.6.8 Serious Deficiencies revealed by Experience in this Mission in Process or Forms (and improvements suggested). (Comment (if necessary).)

|  |          |
|--|----------|
| a. Worksheets                                  | <u>4</u> |
| b. PAR Form                                    | <u>8</u> |
| c. MEO Role                                    | <u>2</u> |
| d. Projects to be Evaluated (Type & Frequency) | <u>7</u> |
| e. AID/W Role                                  | <u>7</u> |
| f. Coordination with Other Documents           | <u>6</u> |
| g. Relevance in Transition Period              | <u>7</u> |

1.6.9 Has Everything Necessary for Successful Institutionalization in this Mission been Completed?

|           |           |           |
|-----------|-----------|-----------|
| <u>10</u> | <u>11</u> | <u>12</u> |
| No        | ?         | Yes       |

If not "yes", what more is necessary?

|   |    |
|---|----|
| Top management support uncertain.                     | 10 |
| Trained MEO not assured.                              | 4  |
| Stop Program Office from "not invented here" changes. | 1  |
| Energy! Support!                                      | 1  |
| PES for capital projects needed for relevance.        | 3  |

1.7 Regional Conferences Follow-up

1.7.1 Did Evidence Indicate that Conference Participants Returned with:

1.7.1.1 Sound Grasp of Basic Concepts and Process of PES?

|          |          |           |          |
|----------|----------|-----------|----------|
| <u>3</u> | <u>5</u> | <u>21</u> | <u>4</u> |
| No       | Mixed    | Yes       | No Info. |

1.7.1.2 Detailed Understanding of Basic Concepts Concepts and Process of PES?

|          |           |          |          |
|----------|-----------|----------|----------|
| <u>7</u> | <u>14</u> | <u>9</u> | <u>3</u> |
| No       | Mixed     | Yes      | No Info. |

1.7.1.3 Favorable Attitude Toward PES

|          |          |           |          |
|----------|----------|-----------|----------|
| <u>1</u> | <u>6</u> | <u>20</u> | <u>6</u> |
| No       | Mixed    | Yes       | No Info. |

1.7.2 Did Conference Result in Important Headstart before Mission Visit? Comment (if necessary on any of the below items).

|           |          |           |
|-----------|----------|-----------|
| <u>10</u> | <u>4</u> | <u>19</u> |
| No        | ?        | Yes       |

1.7.2.1 Speed of Installation?

|           |           |          |
|-----------|-----------|----------|
| <u>13</u> | <u>17</u> | <u>3</u> |
| No        | Yes       | No Info. |

1.7.2.2 Success of Installation?

|           |           |          |
|-----------|-----------|----------|
| <u>11</u> | <u>18</u> | <u>4</u> |
| No        | Yes       | No Info. |

1.7.3 Would the Mission Benefit from another Evaluation Conference in FY72? If yes, what does this Mission need from a Conference?

|               |          |           |
|---------------|----------|-----------|
| <u>      </u> | <u>7</u> | <u>26</u> |
| No            | ?        | Yes       |

- MEO opportunity to share problems and potential PES application. Tricks of the trade; gain polish; learn advances in state-of-the-art from other Mission installations. 19
- Give MEO confidence PES brings value in other Missions and can do so in his own Mission too. 5
- New skills. 2
- Senior management gain insight and understanding of usefulness of PES. 2

## 1.8 Mission Visit Results

## 1.8.1 AID/W Role in Evaluation

Did the Mission Regard AID/W actions as useful to the Mission?

|  | No | ?  | Yes |
|--|----|----|-----|
| a. Changes in PAR Report Format                                    | 0  | 9  | 24  |
| b. Basic Project Design and Evaluation Concepts                    | 1  | 3  | 29  |
| c. Evaluation Conferences  | 0  | 17 | 16  |
| d. Mission Installation Visit                                      | 0  | 3  | 30  |
| e. Proposed change in PROP to using Logical Framework              | 0  | 7  | 26  |
| f. Future Participation by AID/W in Evaluation of Mission Projects | 3  | 22 | 8   |

1.8.2 What, if any, AID/W Help will this Mission Need to Sustain a Mission Useful Evaluation System?

|  | AID/W Would Be |         |           | No Info. |
|--|----------------|---------|-----------|----------|
|  | None           | Helpful | Important |          |
| a. Training of MEO's and New Staff                             | 4              | 21      | 7         | 1        |
| b. TDY Assistance in evaluation due to Workload                | 12             | 14      | 2         | 5        |
| c. TDY Assistance in evaluation for Stimulation from Outsiders | 7              | 10      | 9         | 7        |
| d. Feedback on how to Improve Evaluation                       | 1              | 23      | 8         | 1        |
| e. Help with Project Design and PROP's                         | 6              | 17      | 8         | 2        |
| g. Extending PES Concepts to Host or Other Donors              | 8              | 13      | 8         | 4        |
| h. Further Improvement of Forms and Instructions               | 3              | 21      | 4         | 5        |
| i. Evaluation work Other than PAR                              | 10             | 13      | 1         | 9        |
| j. Other (Specify)   | 0              | 0       | 0         | 33       |

1.9 How strong was the "critical mass" of support for PES at the end of the Mission installation?

1 = Change of a Key Person (people) essential

3 = Support by present USAID people sufficiently widespread for institutionalization

5 = Support is widespread and strong enough to endure despite loss of strongest PES advocate.

RESPONSES

| Rating | Number of Missions |
|--------|--------------------|
| 5      | 5                  |
| 4      | 9                  |
| 3      | 11                 |
| 2      | 8                  |
| 1      | 0                  |
| TOTAL  | <u>33</u>          |

PCI DEBRIEFING SHEET  
ON  
PROJECT EVALUATIONS DURING MISSION INSTALLATIONS  
(64 Evaluations)

(This section of the form should be completed on each project evaluated during Mission visit. Get inputs from AID/W participants as necessary.)

2.1 Basic Identification Data

2.1.1 Title and Number (if possible) of project? \_\_\_\_\_  
\_\_\_\_\_

2.1.2 Sector or Operating Division? \_\_\_\_\_

2.1.3 Characteristics of Project:

|                                      |    |
|--------------------------------------|----|
| a. Mainly Institution, Building      | 34 |
| b. Mainly Direct Production          | 10 |
| c. Combination of a + b              | 20 |
| d. Other (specify)                   | 10 |
| e. Subproject in bigger TA project   | 6  |
| f. Related to Capital Project by AID | 11 |
| h. Important Decisions Pending       | 15 |

2.1.4 Importance of the Project in terms of current Mission Strategy.

|     |        |      |          |
|-----|--------|------|----------|
| 7   | 28     | 21   | 8        |
| Low | Middle | High | No Info. |

2.1.5 Participants in Project Evaluation at any time?

|                             |    |
|-----------------------------|----|
| PCI                         | 56 |
| MEO                         | 50 |
| AID/W                       | 46 |
| Program Office --- Director | 35 |
| Other                       | 10 |
| Project Manager             | 56 |
| Division Chief              | 44 |

|                 |    |
|-----------------|----|
| Contractor COP  | 25 |
| PASA            | 14 |
| Host Country    | 7  |
| Other (specify) | 25 |

2.2 Mission Investment in Installation of PES

2.2.1 Evaluation by Project Team: Time devoted to evaluation prior to review (USAID personnel only)

a. MEO time (man-days)

|                    |    |     |   |       |   |       |    |       |          |
|--------------------|----|-----|---|-------|---|-------|----|-------|----------|
| Man-days           | 0  | 1/2 | 1 | 1 1/2 | 2 | 2 1/2 | 3  | 3 1/2 | No Info. |
| No. of Evaluations | 13 | 8   | 2 | 1     | 9 | 7     | 17 | 5     | 2        |

b. Others (man-days)

|       |         |         |         |         |         |         |         |         |         |           |
|-------|---------|---------|---------|---------|---------|---------|---------|---------|---------|-----------|
| 0-1/2 | 1-1 1/2 | 2-2 1/2 | 3-3 1/2 | 4-4 1/2 | 5-5 1/2 | 6-6 1/2 | 7-7 1/2 | 8-8 1/2 | 9-9 1/2 | 10-10 1/2 |
| 1     | 2       | 7       | 2       | 5       | 4       | 5       | 6       | 6       | 2       | 7         |

|           |           |           |           |           |           |       |          |                    |
|-----------|-----------|-----------|-----------|-----------|-----------|-------|----------|--------------------|
| 11-11 1/2 | 12-12 1/2 | 13-13 1/2 | 14-14 1/2 | 15-15 1/2 | 16-19 1/2 | 20-35 | No Info. | Man-days           |
| ---       | 3         | ---       | 2         | 3         | 3         | 4     | 2        | No. of Evaluations |

c. Total Cost of Mission Personnel for the Evaluation prior to review (man-days)

|       |         |         |         |         |         |         |         |         |         |           |
|-------|---------|---------|---------|---------|---------|---------|---------|---------|---------|-----------|
| 0-1/2 | 1-1 1/2 | 2-2 1/2 | 3-3 1/2 | 4-4 1/2 | 5-5 1/2 | 6-6 1/2 | 7-7 1/2 | 8-8 1/2 | 9-9 1/2 | 10-10 1/2 |
| ---   | 2       | ---     | 1       | 4       | 4       | 3       | 2       | 6       | 4       | 8         |

|           |           |           |           |           |           |            |          |                    |
|-----------|-----------|-----------|-----------|-----------|-----------|------------|----------|--------------------|
| 11-11 1/2 | 12-12 1/2 | 13-13 1/2 | 14-14 1/2 | 15-15 1/2 | 16-20 1/2 | 21 or more | No Info. | Man-days           |
| ---       | 5         | 3         | 2         | 2         | 8         | 8          | 2        | No. of Evaluations |

2.2.2 Time devoted to Mission evaluation review:

- a. \_\_\_\_\_ participants for \_\_\_\_\_ hours (nearest 1/2 hour) (Exclude observers who would not normally attend review) (Not tabulated)
- b. Total time for Mission Evaluation Review

|          |       |         |         |         |         |         |         |         |
|----------|-------|---------|---------|---------|---------|---------|---------|---------|
| Man-days | 0-1/2 | 1-1 1/2 | 2-2 1/2 | 3-3 1/2 | 4-4 1/2 | 5-5 1/2 | 6-6 1/2 | 7-7 1/2 |
| Reviews  | 2     | 32      | 12      | 5       | 1       | 2       | ---     | ---     |

|          |         |         |           |           |           |           |       |          |
|----------|---------|---------|-----------|-----------|-----------|-----------|-------|----------|
| Man-days | 8-8 1/2 | 9-9 1/2 | 10-10 1/2 | 11-11 1/2 | 12-12 1/2 | 13-19 1/2 | 20-35 | No Info. |
| Reviews  | 1       | 1       | ---       | ---       | 2         | ---       | 1     | 5        |

2.2.3 MER Attendees Including Observers:

|                             |     |
|-----------------------------|-----|
| Director                    | 56  |
| D/Director                  | 40  |
| Program Officer             | 58  |
| Project Manager             | 52  |
| Division Chief              | 47  |
| Contractor COP              | 18  |
| PASA                        | 13  |
| Host Country Representative | 13  |
| Other Donor Representative  | -0- |
| PCI                         | 59  |
| AID/W                       | 61  |
| Other (specify)             | 63  |
| No Information              | 1   |

2.3 Emphasis

Rate the relative emphasis (percent of time consumed) in this evaluation. (Number of evaluations listed in cells)

|   | Percentage of Time Spent on each Part of the Evaluation |    |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    | INFO |    |     |   |
|---|---|----|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|------|----|-----|---|
|   | avg %   | 0  | 5 | 10 | 15 | 20 | 25 | 30 | 35 | 40 | 45 | 50 | 55 | 60 | 65 | 70 | 75 | 80 | 85 | 90 |      | 95 | 100 |   |
| Clarification of Project Design                             | 62.9  | 4  |   |    |    | 1  | 2  |    | 5  |    | 11 |    | 17 | 2  | 7  | 4  | 4  |    | 2  |    | 5    |    | 4   |   |
| Assessment of Project Design                                | 23.3  | 10 | 1 | 5  | 4  | 9  | 8  | 20 |    | 5  |    | 2  |    |    |    |    |    |    |    |    |      |    |     | 4 |
| Replanning  | 12.7  | 20 | 6 | 16 |    | 11 | 3  | 4  | 2  | 1  | 1  |    |    |    |    |    |    |    |    |    |      |    |     | 4 |
| Reporting Requirements in Excess of Mission-Useful Analysis | 1.1   | 60 | 2 |    | 1  |    |    | 1  |    |    |    |    |    |    |    |    |    |    |    |    |      |    |     | 4 |

2.4 Worksheets

Did the participants find the worksheets helpful?

|    |     |          |          |
|----|-----|----------|----------|
| 0  | 25  | 33       | 4        |
| No | Yes | Not Used | No Info. |

2.5 Experience Gained

2.5.1 Concepts

Which PES concepts required extensive further explanations and discussion in the project evaluation sessions?

|                                      |           |
|--------------------------------------|-----------|
| a. GPOI                              | <u>28</u> |
| b. Objectively Verifiable Indicators | <u>36</u> |
| c. Assumptions                       | <u>47</u> |
| d. Linkages (hypothesis)             | <u>20</u> |
| e. EOPS                              | <u>48</u> |
| f. Replanning                        | <u>13</u> |
| g. MEO Role                          | <u>17</u> |
| h. Role of the new PAR               | <u>20</u> |
| i. Other Concepts                    | <u>9</u>  |
| j. No Information                    | <u>5</u>  |

#### 2.5.2 Experience with Applications

This evaluation provided experience in these areas:

|  |           |
|--|-----------|
| • Design of new project  | <u>14</u> |
| • Redesign of on-going project                                     | <u>46</u> |
| • Capital loan component   | <u>9</u>  |
| • Complex program design<br>(more than single TA project)          | <u>25</u> |
| • Host country involved in evaluation                              | <u>9</u>  |
| • Responsibilities clarified for<br>line managers                  | <u>33</u> |
| • Clarification and coordination of<br>other donors and host roles | <u>21</u> |
| • Washington based projects  | <u>0</u>  |
| • Other (specify)  | <u>22</u> |

## 2.6 Project Evaluation Impact

Was there evidence that evaluation of this project was of direct benefit to the Mission?  
(Comment where necessary)

| <u>0</u> | <u>45</u> | <u>19</u> |
|----------|-----------|-----------|
| No       | Yes       | ?         |

|   |           |
|---|-----------|
| ● Important decisions made in Mission Review using evidence from evaluation | <u>26</u> |
| ● Training of Project MEO   | <u>37</u> |
| ● Training of Project Managers  | <u>42</u> |
| ● Constructive communications and dialogue initiated                        | <u>46</u> |
| ● Unforeseen project problems identified                                    | <u>15</u> |
| ● Roles and responsibilities clarified and specified                        | <u>37</u> |
| ● Commitment to serious project evaluation                                  | <u>20</u> |
| ● Other (specify)   | <u>11</u> |
| ● No information  | <u>1</u>  |

## 2.7 Lessons Learned

Briefly summarize the major "lessons learned" in this project evaluation (i.e., about evaluation especially). (Not Tabulated)

## 2.8 Quotable Quotes

Reproduce here as accurately as possible any useful or insightful comments (either positive or negative) regarding the evaluation of the project. Identify individuals only by title or position. (Reproduced in Appendix D.)

APPENDIX C

RESULTS OF PROJECT EVALUATIONS DURING  
MISSION INSTALLATIONS IN 33 USAID MISSIONS

## APPENDIX C

RESULTS OF PROJECT EVALUATIONS DURING  
MISSION INSTALLATIONS IN 33 USAID MISSIONS

During FY 71, PCI participated in approximately 77 evaluations in 33 USAID Missions.\* The primary objective of these evaluations was to train each Mission to evaluate its own projects. Often evaluations led to important improvements in communications about the project and changes in plans for implementation. Examples of the results of these evaluations illustrate the impact of the evaluations on planning and implementation as well as on USAID management practices.

Table C-1 summarizes the breadth of the evaluations in each category.

The examples are organized as follows:

AID Organizational Categories

- A. Agricultural Projects
- B. Education Projects
- C. Public Health and Family Planning Projects
- D. Private Enterprise Development Projects
- E. Public Administration Projects
- F. Public Safety Projects
- G. Social Development Projects

Institution Building (versus non-Institution Building Projects)

- H. Institution Building Projects

Projects including Capital Assistance (versus Technical Assistance)

- I. Capital and Mixed Capital/Non-Capital Projects

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\*Thirteen evaluations from the ROCAP Mission are included, although they were supported under a separate contract.

Regional (Versus Bilateral Projects)

J. Regional Projects

Programs (Versus Projects)

K. Programs more Complex than a Single Project

TABLE C-1

Characteristics of Projects Evaluated  
During Mission Installations

| Project Types                                    | Agriculture | Education | Public Health & Family Planning | Private Enterprise Development | Public Administration | Public Safety | Social Development | Total |
|--|-------------|-----------|---------------------------------|--------------------------------|-----------------------|---------------|--------------------|-------|
| Institution Building                             | 11          | 12        | 5                               | 4                              | 7                     | 1             | 1                  | 41    |
| Direct Production                                | 5           | 0         | 1                               | 0                              | 0                     | 1             | 0                  | 7     |
| Mixed Institution Building/<br>Direct Production | 16          | 4         | 0                               | 5                              | 3                     | 0             | 1                  | 29    |
| TOTAL  | 32          | 16        | 6                               | 9                              | 10                    | 2             | 2                  | 77    |
| Non-Capital                                      | 26          | 12        | 6                               | 9                              | 9                     | 1             | 2                  | 65    |
| Capital  | 1           | 0         | 0                               | 0                              | 0                     | 0             | 0                  | 1     |
| Mixed Non-Capital/Capital                        | 5           | 4         | 0                               | 0                              | 1                     | 1             | 0                  | 11    |
| TOTAL  | 32          | 16        | 6                               | 9                              | 10                    | 2             | 2                  | 77    |
| Regional   | 3           | 6         | 1                               | 2                              | 1                     | -             | 1                  | 14    |
| Bilateral  | 29          | 10        | 5                               | 7                              | 9                     | 2             | 1                  | 63    |
| Total  | 32          | 16        | 6                               | 9                              | 10                    | 2             | 2                  | 77    |

Practical Concepts Incorporated

### A. AGRICULTURAL PROJECTS

- Application of the Project Evaluation System to a large and complex project for modernization of the agricultural sector through advanced research, development, and technology provided an organized format through which a Project Manager could effectively identify sets of subactivities to be carried out by technicians working in his division. The results clarified distinct roles and responsibilities, improved communications, and aided the Project Manager in his supervisory responsibilities and activities.
- Evaluation of a feed-grain project clarified the relationships between inputs, outputs, and planned production levels in such a way that project personnel and host country representatives readily recognized that the need and possibilities were substantially higher than the projected targets. This analysis and further discussion at a Mission Director's Review led to a consensus to increase the planned production targets.
- Careful evaluation of an agricultural project dramatized the critical role of host government policies on project progress and probability of success. The evaluation provided an objective basis upon which to discuss with relevant host government officers the need for appropriate action to ensure project success.
- Evaluation had led managers of a long-established project to recognize that their project was unlikely to accomplish an important development impact and to propose reallocating resources accordingly.

## B. EDUCATION PROJECTS

- The initial feasibility study for a new university faculty grossly overestimated enrollment. The evaluation clarified the need for a fresh survey of job vacancies and projections in order to rationally expand enrollment, facilities, and staff. If the market for high-level jobs was found to be saturated, some students could be trained to teach at secondary school level, but changes would be implied for university admissions, curricula, and job placement.
- A loan to construct a school was obligated after the normal procedures, but expenditures were delayed due to host-country problems. After several years, the host country wanted to proceed. The original studies were obsolescent due to high inflation, drastic reduction in the pool of promising students and staff, and reduced value of the project as a demonstration model. Evaluation clarified the present assessment of what the project would accomplish with alternative patterns of capital and TA support from USAID.
- The project design for a major university program had been so focused on measures of institutional maturity that no mention had been made of graduating enough students to meet an important need of the host country. Management attention was shifted to the low current output of graduates which was an important problem.

### C. PUBLIC HEALTH AND FAMILY PLANNING PROJECTS

- A joint evaluation of a major family-planning program by USAID and host government representatives led to a coordinated plan with well defined targets for accomplishment. Indicators were developed for judging the effectiveness and efficiency (cost per acceptor) of diverse competing approaches to increasing acceptance of family planning.
- A census expert shifted emphasis toward making the census responsive to the questions of host-country policymakers in family planning and other fields.
- A clear overall design from the host country point of view for a complex, multilateral family-planning program showed: a) how USAID projects fit into the overall program; b) what important functions were not being carried out; and c) which functions USAID would try to do directly and which it would encourage other donors to perform.
- Evaluation of a USAID-supported family-planning program emphasized the need for prompt USAID action on a major transaction to consolidate a gain before a host-country election.

D. PRIVATE ENTERPRISE DEVELOPMENT PROJECTS

- A new private-enterprise advisor proposed launching a major new program which involved taking over functions from other divisions. The evaluation defined clearly the scope of the proposed program, what specifically might be accomplished, and the need for reorganization of the functions from other divisions. The evaluation provided a de-personalized analysis of the program as a basis for discussions and for decisions by senior Mission management.
- The relationship between two seemingly unrelated institutes being proposed for AID assistance by the host country was clarified by evaluation, showing that both were necessary for increasing the number of successful, new, small and medium-sized industrial enterprises. Since this purpose was readily accepted by all parties, the Logical Framework became a common basis for host country and the USAID Mission to coordinate detailed planning.

### E. PUBLIC ADMINISTRATION PROJECTS

- A new Project Manager, recently transferred from another Mission to take over a Tax Administration project, found the Project Evaluation System (PES) particularly helpful to him in quickly analyzing and understanding the critical issues associated with the project. During the process of PES application, it became increasingly clear that the apparent marginal increases in revenue production and collection efficiency (the purpose of the project) after two more years were unlikely to justify the planned continuation of the project beyond that time. Highlighting of this point led the Project Manager and Mission Director to conclude that plans should be established for possible project completion and termination on an accelerated schedule.
- Evaluation of a customs improvement project indicated customs efficiency would improve as planned, but would have little impact on export promotion or revenue, which the Director considered top priorities. The PASA team had considerable discretion in the use of their time, and it was planned to reorient their activities to meet the Director's priorities.
- The plans for an institution to produce competent, independent research on public policy was evaluated. Among other things, the evaluation focused attention on the "pay off" which was use of the proposed research by host government policymakers rather than the research being valuable for its own sake.

F. PUBLIC SAFETY PROJECTS

- Evaluation of a public-safety project to provide village level security in priority areas indicated USAID had met its commitments, but achieving the project purpose depended on overdue actions of the host government. The analysis pointed out that the project purpose might be better served by re-allocating commodities to another public-safety project rather than insisting on strict compliance by the host -- but joint planning with the host was essential in any case.

### G. SOCIAL DEVELOPMENT PROJECTS

- A review and analysis of a Civic Development Leadership Education Project through application of the Logical Framework highlighted for all interested parties the critical dependence on contributions to budget support for the private sector organization which had to be raised by local voluntary gifts. Discussions at the Mission Director's review focused on this issue and led to a consensus that the rate and magnitude of local contributions should be closely monitored to determine whether the planned target level for the year and subsequent years was realistic and attainable. Continuing appraisal of this matter is now providing a continuous feedback loop for considerations of project continuation, termination or change.
- The application of the PES to a Mission's Title II program surfaced the lack of any operational purpose for the program above and beyond a general and vague impulse to provide food for under-nourished children. This led to considerable discussion during both the project evaluation and the Mission Director's review about alternative ways in which the resources of the program could be used to promote more development-related impact in the host country. The Project Manager was directed to study the problem and report on a proposed set of strategies for more effective utilization of the program resources for development purposes.

#### H. INSTITUTION BUILDING PROJECTS

- A project to develop a comprehensive girls' secondary school as a possible host-country model for replication and expansion was rapidly drawing to a close. Using a set of criteria for "institutional maturity," the PES was applied to the project. It became quickly apparent that the difficulty of finding qualified female candidates for participant training, and a serious attrition of trained personnel once on the job had put the participant training plans seriously behind schedule and threatened successful institutionalization at project conclusion. This issue became the focus of extended discussions during project evaluation and the Mission Director's review. This in turn led to a consensus that the possibility of male candidates and staff members should be explored along with the potential of OPEX arrangements as a viable way to provide continuing support until the last wave of participant-trainees returned, were placed, and were able to operate successfully without external back-stopping.
- Ten years, and as many millions of dollars, had been spent in consolidating an uneven array of private schools into a single primary and secondary urban system. Both Mission management and project team members were uncertain as to how to end the project. By using the Logical Framework to clarify the project's design, it became manifest that all goals had been met and the remaining direct U.S. support could responsibly be discontinued. Provisions were made, however, to monitor the system through data collection, in order that the developmental hypotheses could reliably be applied elsewhere. This monitoring need had not been part of the original project design, but it was recognized as a result of the evaluation process.
- At the scheduled end of a project, both the project team and the Mission were dismayed that their contributions to a graduate agricultural faculty

had not been institutionalized. A proposal for extension of project life was contemplated. While applying the PES, unwritten and long-forgotten indicators emerged to the effect that no institutionalization had ever been either planned or attempted. A check with the university rector confirmed what he had thought was common knowledge: the university had already made arrangements to continue the same project with funds and personnel from another country. The Mission was consequently free to apply its slender resources to other projects.

### I. CAPITAL AND MIXED CAPITAL/NON-CAPITAL PROJECTS

- The PES was used to considerable advantage in highlighting the various capital (loan) and non-capital (grant) input elements and their interrelationships making up a major education project. The project was designed to accomplish a comprehensive reform and modernization of the education system through grade nine using instructional television as a major catalyst. It involved wide-ranging physical development of a two-channel, country-wide television transmission and reception capability, the construction of additional classrooms, and the equipping of existing and new classrooms for television reception and with related equipment and materials for modernized ITV-based instruction, as well as technical assistance for technical advisors, staff training, curriculum and materials development, and on-going program evaluation. Some of the technical assistance during the latter years of the project were to be funded by the loan elements. In addition, the host country was to make major inputs. Altogether the planned loan component was approximately thirteen million dollars, while the grant portion was to total about five million. The anticipated host country cash contribution was to be in the neighborhood of 16.5 million in dollar equivalent.

PES application to a project of this scope and complexity was carried out successfully. The project design matrix sorted out the inputs and outputs associated both with grant and loan-funded activities and displayed their interrelationships in a logical and ordered way. This turned out to be of real benefit to the senior Mission management, providing a systematic overview of the project and a common format for fruitful continuing discussion and reviews by all interested parties.

- Immediately following a dramatic change of government, a small country secured a large loan to slash its hard currency spending by reducing imports of staple diet items. Reduction was to be made by production loans from the large AID loan for increasing production of specified indigenous crops.

Although this project's goals had been met, the indigenous crop production did not completely supply the market; significant imports with concomitant hard currency outlay continued. The intensive study of the capital project's design and implementation, as routinely occasioned by the PES, first suggested and then documented a significantly different view of the project's purpose and goal. The original pressing and urgent need for an immediate infusion of dollars had been accomplished. The loan fund had since turned over three times, proving of great value in the agricultural sector. The desired, specific crop increases had been shown to be not within effective and economical reach of the country, but the sector had seen notably substantial increases in other crop areas. Reassured that the country's real needs had been met satisfactorily, the Mission was able responsibly to take steps to end the project on schedule.

- A loan to build a comprehensive secondary school was approved but postponed due to host-country problems. When the host country wanted to draw the loan, there had been a 50% inflation, making the loan inadequate. The supply of promising teachers and students in the region was severely reduced, and the value of the school as a demonstration was diminished. The evaluation reconfirmed the relevance of the comprehensive secondary education and the feasibility of using the extant loan to finance a smaller facility. Alternative uses for the loan were considered with host-country and other donor representatives. A building without technical assistance was likely to achieve no impact, but other donors could supply part of the required human inputs. The Mission Review concluded with a mandate to the project team to find all alternative sources of technical assistance as a condition for any USAID technical assistance.

- A Faculty of Agriculture project requested a major expansion of facilities and extension of technical assistance funding. The requests were refused because enrollments had not increased as planned and because of lack of clarity in the PROP. The evaluation separated the Faculty of Agriculture from other activities treated in the same PROP, and it clarified what could be realistically expected with the proposed funding. A clear plan was developed showing the expected evolution of the school, when and how the new facilities would be needed, what important risks remained for achieving the project purpose, and the alternatives for the Project Managers if all funding or any important component of the funding package were refused. The cost of training professional agriculturalists locally after termination of USAID assistance was estimated to be far lower than the cost of participant training, even if enrollments did not rise. A survey of demand for graduates of the school would be initiated and, if necessary, the curriculum would be adjusted to accommodate students destined to teach in secondary schools.

## J. REGIONAL PROJECTS

- Clarification of project design for a regional project to conduct broad market surveys led to subsuming it under another project for export expansion. Instead of existing as a separate function, market analysis was keyed to products which had a high probability of successful export development. The market studies would be conducted more efficiently by coordinating with the regional development bank, due to economies of scale with respect to research; simultaneously, the bank would identify export-oriented industries for the purpose of making loans.
- A project to effect a Customs Union was scheduled for termination as a result of not being able to achieve the project purpose or goal. The outputs had been produced as planned, but governmental cooperation on a regional basis was not forthcoming. As a result of project evaluation, management reallocated resources away from this project, but preserved the produced outputs for use if and when the necessary government cooperation develops for formation of a Customs Union.
- The project design for the development of tourism on a regional basis was reoriented away from the development of an institution as the project purpose toward tourism expansion. The institution is now viewed as an output of the project -- a "means" to achieve the "end" of tourism expansion. The evaluation with the clarified project purpose led to management decisions to shift funds away from long-term office support and toward increasing host capability to perform tourism promotion and packaging.

- The design clarification and evaluation of three regional schools of higher education focused on a variance in the concept of "regionalism" as interpreted by USAID and the host countries. For USAID, regionalism was seen as developing a single school in each discipline to serve the region. The host countries viewed regionalism as having a regionally funded school in each country mainly to serve nationals of that country. The evaluation led to reallocation of effort toward increasing support for the schools, both by the country where the school is located and from other countries of the region.

K. PROGRAMS MORE COMPLEX THAN ONE PROJECT

A complex family-planning program included several USAID-supported projects plus projects from almost every other family-planning donor in the world. The evaluation began with the program design, taking the host country's point of view. The program goal was to reduce the rate of population growth to \_\_\_\_\_%. All activities were subsumed under two sub-goals of creating a demand for family planning and supplying the demand. Under each activity sub-goal were several projects and the Logical Framework format clarified how they all fit together. The status of the USAID-supported projects were easily evaluated with the program design providing a broad frame of reference for the project team and the Mission. The evaluation showed clearly what functions were not being done effectively, thereby jeopardizing the program as a whole. The Mission planned to use the evaluation results in discussions with the Ambassador, other donors, and the host government to decide which new projects USAID would support and which would be supported by other donors.

APPENDIX D

SELECTED COMMENTS ABOUT THE AID PROJECT EVALUATION SYSTEM  
("QUOTABLE QUOTES")

## APPENDIX D

### SELECTED COMMENTS ABOUT THE AID EVALUATION SYSTEM

#### ("Quotable Quotes")

#### I. MISSION DIRECTORS, DEPUTY DIRECTORS, ASSISTANT DIRECTORS

"The Mission Review injected alternatives and that was helpful."

(At the beginning of a Mission installation) "Evaluation has bottom priority in this Mission . . . . It's just one more intellectual fad from Washington." (To the Mission staff after evaluation team presentations) "I was skeptical about PES; now I see value in it -- somewhat . . . . I hope all Project Managers will try the Logical Framework on their project as soon as they have a chance." (To the AID/W evaluation team after presentation) "I want you to switch to this big project where an important decision must be made soon; use this system there." (At the end of the Mission installation) "You have been very helpful in focusing attention on the key issues I have to act upon."

"This is a ten year effort to build a university but this project design makes no mention of producing enough students to meet the needs of this country." (during an evaluation review)

"So what if this process takes a lot of time -- it's what this business is all about and what you're paid to do."

"This project purpose is so general that you can't fail." (in Evaluation Review)

"Your project design is summarized adequately in this double page (the LF). This is particularly impressive coming from you (the Project Manager) after your last 300 page opus." (in Evaluation Review)

"We need more information about scheduling and consumption of inputs, (this deals too much with outputs and lets people con you)."

"The less paper the better, we just can't afford to have all of our thinking in a documentary record."

"(The PAR) was an insidious device. The bright guys from Washington must have known the new forms would not work -- not with projects which had inadequate PROPs and PIPs and ProAgs! The result is the system is going to force us to make sense out of the latter before we can prepare a meaningful PAR."

"Don't spend any more time with our projects--can't you use this approach to evaluate our whole education sector?"

"So what else is new?"

"Having external assistance was valuable: a fresh perspective, no vested interests and a sense of urgency that forced putting other work aside; it was not at all necessary to have technical expertise in the field to be helpful."

"I knew about all the problems before but I didn't realize how serious they were--or how important it was that I do something promptly."

"I remember the enthusiasm and high hopes we all had for this project five years ago."

"This is a good communication device and should help me sometime in my project analysis."

"Let's use this for all new projects and all replannings."

"I began this week by questioning your system's applicability to our situation and end it by still not being entirely convinced."

"We should extend this approach to capital projects."

"The entire staff became painfully (I hope) aware that without base line data it is difficult to measure progress; that without a meaningful statement of purpose, we really couldn't tell if we had arrived."

"The meeting accomplished these important things: 1) they emphasized AID/W interest in and concern for improved project management by actions rather than only words . . . ."

"I liked the Evaluation Review (with the Director attending but Evaluation Officer moderating); it gives me an advantage I have to learn to use. Someone else (MEO) sums up and brings \_\_\_\_\_ (the assistant program officer) into the discussion with important issues."

"This review has given me ninety minutes to see the money isn't well spent. We will have to examine this project carefully now."

"If I had had a matrix for every project when I arrived at this Mission, it would have saved me a lot of reading."

"Of course we will go ahead now and revise the PROP for this project."

## II. PROGRAM OFFICERS AND ASSISTANTS

"But that's not what we were trying to do with this project -- I know, because I started it."

"I have decided that the logical framework can be used, with some slight modification, for loans; we will try it shortly on a proposed agricultural loan and see what happens."

"These people have succeeded (in project design and evaluation) where we Program Officers have labored for 23 years without success."

"Applying this system to new PROPs will show how bad some of our proposed projects really are. AID/W should turn them down or just give interim funding and force improved planning. With the Logical Framework you can see how bad the projects are."

"This conference was undersold. The evaluation concepts are much more than 'just' evaluation -- they have important implications for project design and programming."

"I was sold when I saw the basic project design for a project I knew well described clearly on a single page."

"The conference theme should be changed to 'If you don't know where you are going, you can't tell how fast you are getting there.'"

"When the Missions are reduced in size, it will not make sense to have Evaluation Officers in every Mission. Probably, it should work like your AID/W team visiting this week to help the Mission evaluate its own projects."

"PES is good for young men who may become project managers. Older men know the Director doesn't care so they will try a while but not take it seriously."

"The worksheets let us ask questions, and talk about things we never could have brought up (with the COP) ourselves. There was no big problem this way, and we had a useful, honest, discussion that we never could have expected otherwise."

"I'm going to add some items to the checklists, to reflect some of our real problems."

### III. DIVISION CHIEFS

"I have already told my people to do GPOI's on our three new projects."

"I'll use the system. It gives me some useful controls I can use and doesn't tie my hands unduly. If that is good for the Agency and the program it will make me feel good too, but that is not why I'll use the system."

"I was pleased to see how straight the line could be from what we were doing to what we wanted."

"I went home last night and thought through some of my other projects your way and it is very neat."

"That's the first time I have heard the CFS tied into project design."

"You know I was against the PES before I went to the conference. Then I saw it had some possible usefulness. Now (after evaluation of his project) I am very excited about how it can help me shape up my project and talk about it to people. I showed it to my host country counterpart, the head of \_\_\_\_\_, and he wants to apply the Logical Framework to every one of his projects now. Thank you very much for coming and doing this evaluation. I think it may be we can have some communication now within the Mission and with the host country."

"This process certainly showed us we haven't been managing this project."

"By the end of that evaluation review, we finally had the Mission Director ready to talk with us about the important issues."

"This system does systematically what I have been doing by intuition based on my years of experience."

"Even though I like your ideas, I don't have time to evaluate. I'm trying to put together a massive new program. If I had the time, I would use the system."

"This has been helpful -- thinking about goal and purpose especially. I am not disturbed about the need for more discussion of project purpose."

"We need clear thinking and statement of purpose that AID, contractor, etc. all accept."

"Keep that god damned MEO out of my shop. I don't mind his coming down here if he doesn't try to tell me how to run my shop; that applies to all Program Office types."

(At beginning of evaluation) "This process is forcing me to develop an entire sector program. I can't do it in three days." (At the end of the evaluation) "You guys must have been sensitivity trained - is that what you're doing to us?"

"The completion of the Logical Framework was interesting and fun, but the completion of the PAR is certainly tough going."

"When we heard someone was coming to install this new system, we assumed it was another Washington thing, but I am sure I speak for Education Division Chief also, when I say that this is the best thing that AID has ever done. It forces you to think through and organize what you're doing in a rigorous and systematic way and provides a way to communicate with people and get them to understand your project and efforts."

#### IV. PROJECT MANAGERS

"The evaluation didn't reveal anything new - it did pinpoint the important items."

"This evaluation was useful for insight into my own project."

"We can't know what the original targets were unless we ask the contractor."

"It helped me explain the project to the Program Office and Director."

"I guess we've just been responding to host shopping lists for commodities."

"The evaluation helped me clarify the difference and relation between output and purpose and goal and the importance of including the latter two in the evaluation even though they are beyond the responsibility of the project manager."

V. EVALUATION OFFICERS

"Mission will apply new system to evaluation of all T.A. projects immediately."

"In the (old) PAR we praised the project and said it had accomplished its objectives in order to get the project terminated as scheduled the next year. We sloughed over the shortcomings of the project."

"We find that each project requires about one week, at the rate of 2-3 hours a day." (experience after the Mission installation)

"I can see my habits as a program officer will have to change to become a good MEO. I have to assist, not just ask tough questions."

"Your visit here shows some important things I did not get at the conference. I thought we should focus on the last year and the targets for now rather than 'where we are relative to project purpose;' I thought we should evaluate by comparing against some past document rather than against our clearer perception of the project today; and I didn't expect to get so involved in planning and operation of the project."

"We may be general but need not be vague. I am confident that we are trying to phrase what it is we all agree we want to accomplish."

"The Project Manager and team knew about these problems for a long time. The program office learned about them a couple months ago on a field visit, but the Director didn't really see it until the (evaluation) review."

"I will always have someone from the Program Office in the evaluation. Then, I can be a neutral moderator and still be sure the important issues will be discussed."

VI. CHIEFS OF PARTY

"The Logical Framework structured the discussion so nothing important disappeared in the verbiage."

"This is just good project design and it would be helpful to us all to use it when starting projects."

"We should have had this four years ago when we started this project. This is what AID ought to do on every project."

"Clearly this is a vague statement, but when we build an institution we have to be vague. When AID goes to Congress, you are vague. How do you know when it (an explicit example) is better since it is a subjective judgment?"

"If we had used this system when our contract was first signed, we would have saved eighteen months."

"I will be able to manage my project better now. It will be easy to assign responsibility for specific outputs to different members of my team and explain how it all fits together."

#### VII. AID/WASHINGTON AND THE AID/W EVALUATION TEAM (Including PCI Consultants)

"The Mission Director believes in deliberate vagueness in PROP's to preserve flexibility. He feels the project is created by the person who fills the job."

"Director's personal enthusiasm was a strong factor in swinging a highly resistant individual into a cooperative attitude. Whether or not this cooperation will continue remains to be seen. There was high enthusiasm on the part of Project Managers.

"Emphasized the need for assessing outputs as not only being necessary for the Project to achieve its purpose but sufficient."

"They felt detailing of Funding history and Status required more than suggested level of detail; so we supplied more detail."

"That Mission's situation is characterized by project requests from the host requiring disparate inputs and maximum commingling of such inputs. The Director is not certain the Logical Framework is appropriate. The real problem, I believe, is Director's recognition that a Logical Framework 'surfaces' and underlines the limited purposes or 'grand' hypotheses inherent in such projects. In the face of need to 'sell' Washington, this raises serious concerns for him."

"Director assumed 'worst case' utilization of PAR by Washington."

"Mission Director emphasized the criticalness of deliberate and detailed attention to the identification and weighing of assumptions."

"This system works. We have used it for reviewing all the PROPs in this Bureau."

"We should do this analysis for Washington-based projects, too."

"I was amazed how well the system worked even though I made mistakes in installing it. The Mission Director thought he knew the project completely, and then found important issues that required his attention."

"Full representation by host government extended time spent in Mission Evaluation Review to more than two hours each. Host seemed to follow and accept process very well."

"Mission Director wanted overview before MER and access to high level of detail during Mission Review. He was especially interested in disbursement cost breakdowns. He felt that 90 minutes was much too brief. The Director not at all anxious to have MEO chair the Review although he was most cooperative. He felt that the summary document showing plans versus actual status was indispensable."

"The Chief of Party and Project Managers were amazed that only four output indicators were sufficient to measure their accomplishments. The other measures, like 'committee meetings attended,' were really busy work."

"Both the Project Manager and Chief of Party were uncritical advocates of the project so it would have been helpful to have someone from the Program Office participating. Nevertheless, when we set out the evidence of what had been accomplished the record spoke for itself. I was pleasantly surprised."

"Mission Director asked that all projects be couched in terms of a four by four matrix and displayed permanently for his use."

"Host impressed with process (participated at MER only)."

"The Section Chief, when he became convinced of the value of the process as it related to restating the project purpose, changed his 'opinion' regarding Contractor performance based on new outputs and 'End of Project Status' - In addition to bringing the Agriculture Sector head and Contract Chief of Party together, the Mission Director remarked (in substance) - 'I finally understand what this project is all about.'"

### VIII. TECHNICIANS

"The evaluation review was useful to present my side of the story to the Mission Director directly -- not watered down or modified by passing it through channels."

"We have a good plan for the first time."

### IX. HOST COUNTRY REPRESENTATIVE

"We never before realized how big this project really is, nor all the elements involved."