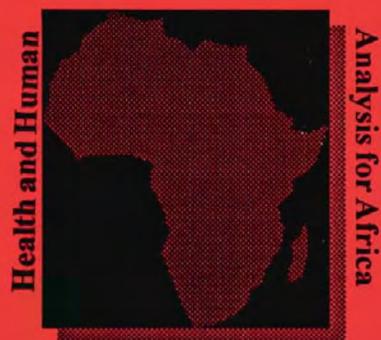


**Resources**



**HHRAA  
AFR/SD/HRD**

**Mid-Term Assessment  
Briefing Book**

**Volume 1: Project Overview**

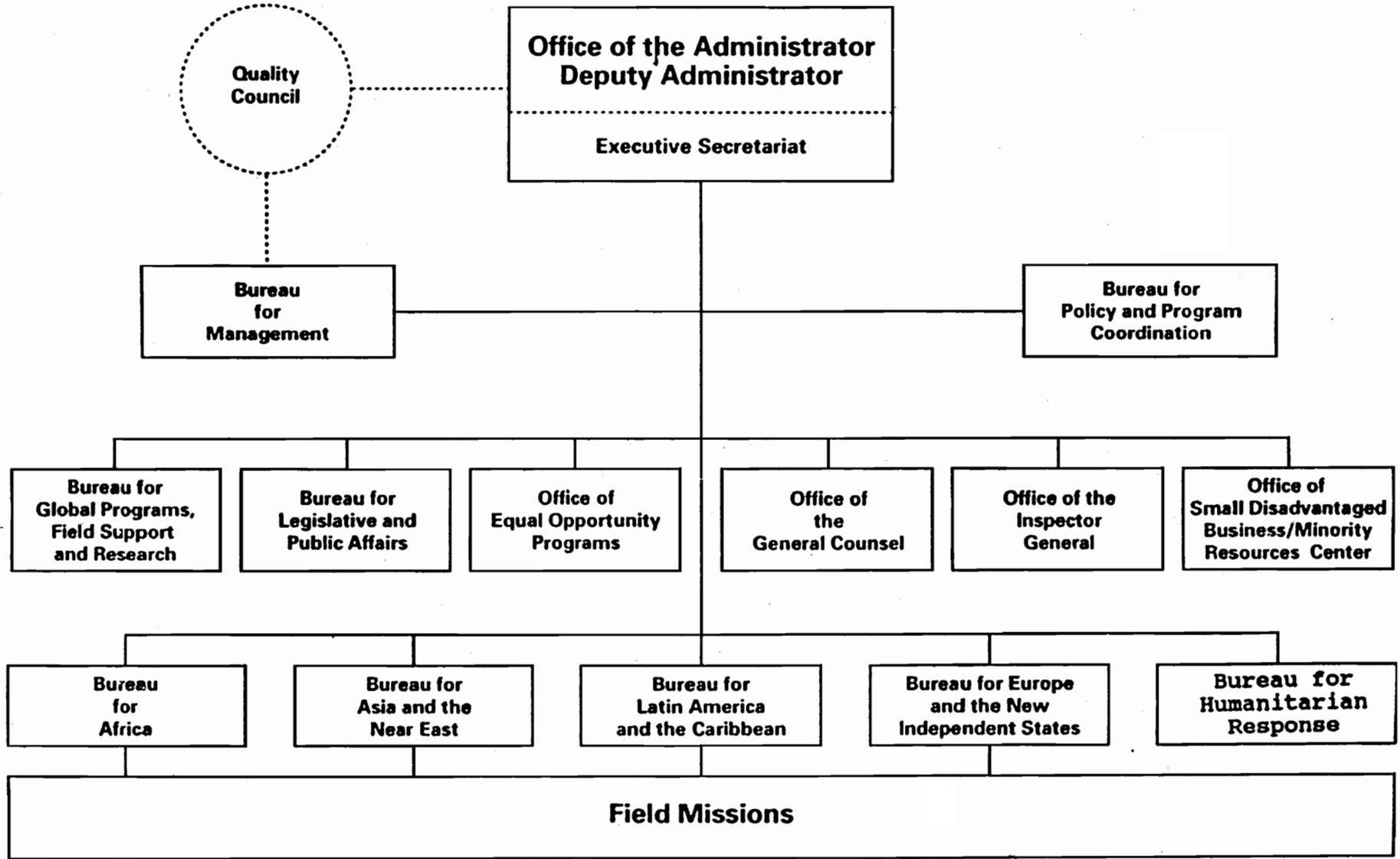
**November, 1994**

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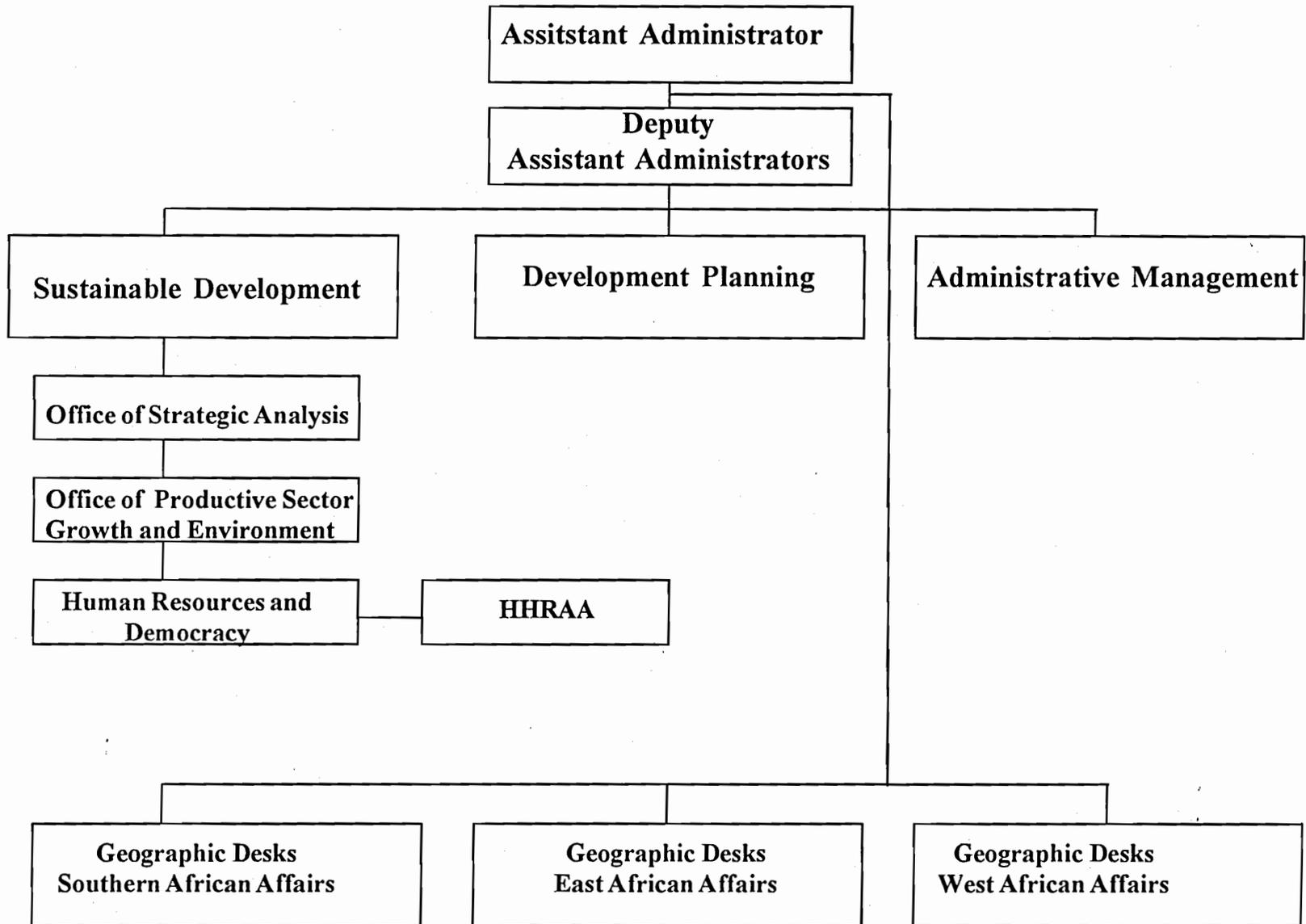
# AGENCY FOR INTERNATIONAL DEVELOPMENT



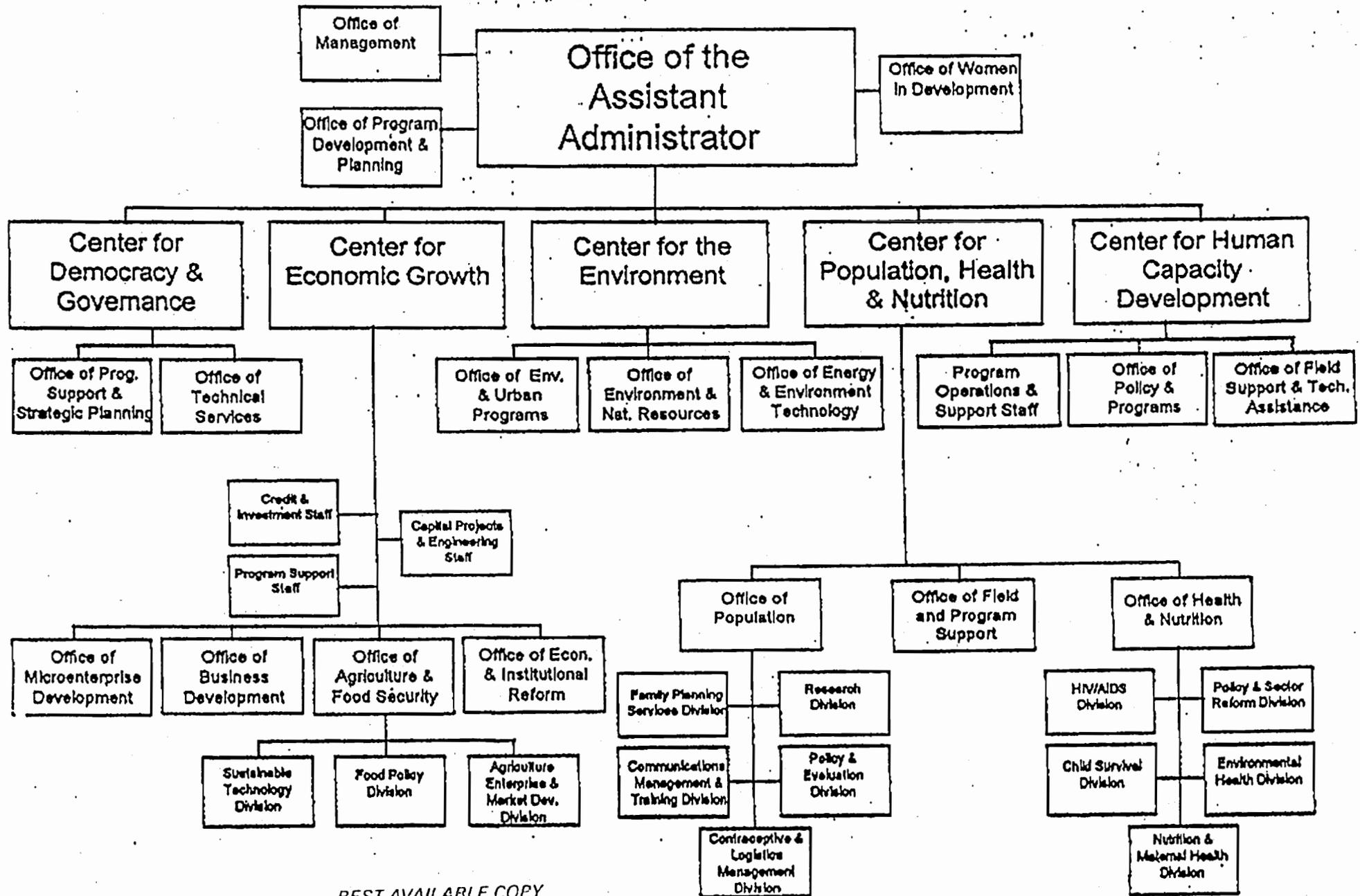
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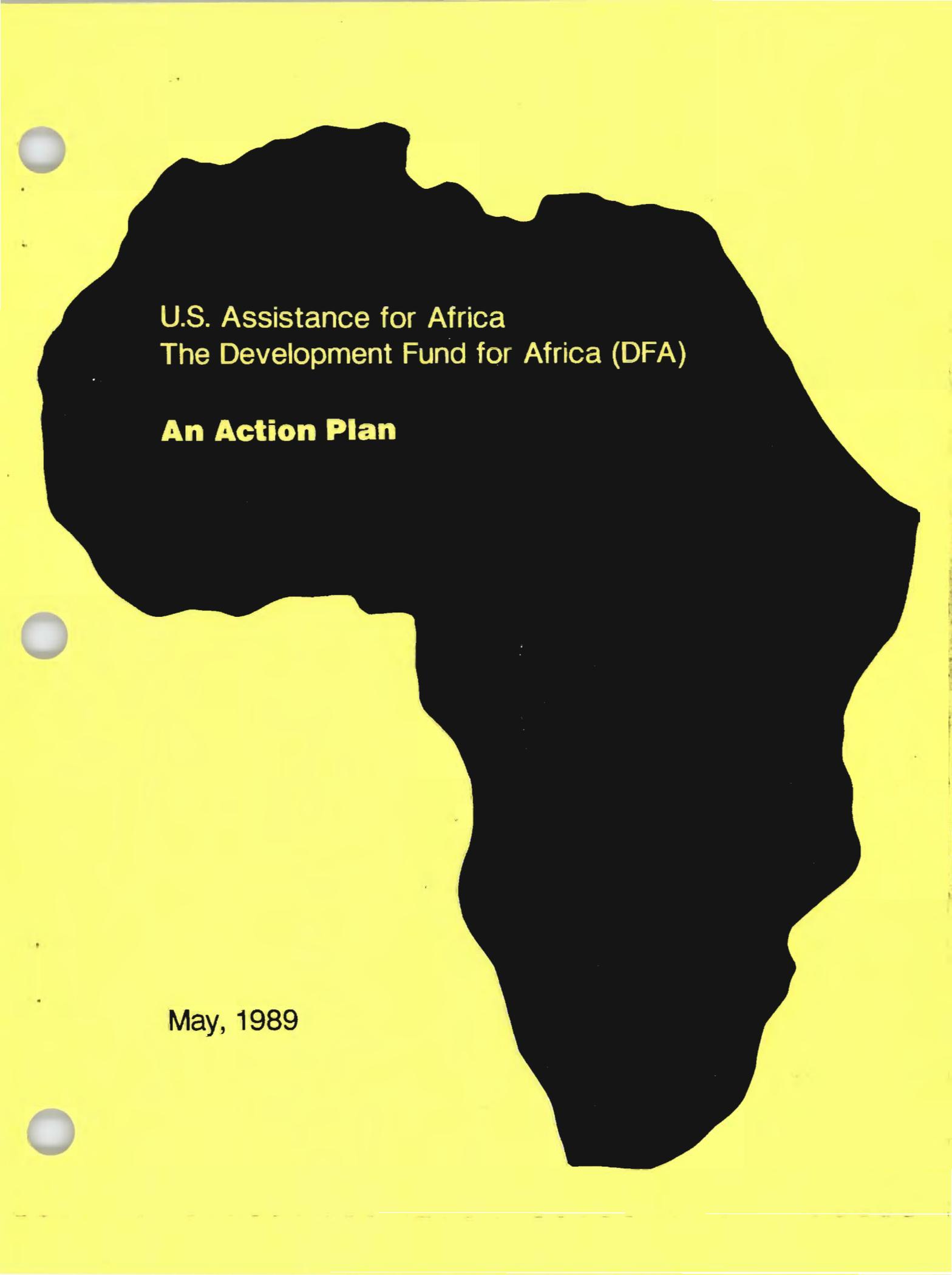
# Bureau for Africa



# Bureau for Global Programs, Field Support and Research



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U.S. Assistance for Africa  
The Development Fund for Africa (DFA)

**An Action Plan**

May, 1989

# **AN ACTION PLAN FOR FY 89 - FY 91**

## **The Development Fund for Africa**

### **Executive Summary**

#### **The African Context: Movement toward Economic Reform**

In the first half of the 1980's, many African countries experienced serious economic decline. Economic growth stagnated and per capita incomes fell, often by 20 percent or more. In many cases, economic problems were compounded by the devastation of severe drought and war.

Africa's people, who were already among the poorest in the world, suffered further hardship. The poor, the very young, and the old were particularly hard hit. The effects of economic contraction were widely felt and, while many African governments tried to mitigate the worst effects, they found themselves with unsustainable budget and trade deficits and severe limits on their capacities to respond.

These severe financial pressures forced African governments to reassess the old way of doing business and to consider far-reaching reforms of their economic systems. By 1985, a number of African countries had begun the process of economic reform. By the end of 1988, 27 countries in sub-Saharan Africa were engaged in some form of structural adjustment, supported by both multilateral and bilateral donors.

Some recovery has been made. Modest per capita growth has now been restored in most reforming African countries. However, the pace of growth continues to be slow, in part because of resource shortages. Reforming countries have been given increased foreign aid and moderate debt relief, but these have not been enough to compensate for the large losses Africa has suffered from low prices for its exports and a halt of private investment.

#### **A New Context for A.I.D.: The Impact of the DFA to Date**

The inauguration of the Development Fund for Africa (DFA) late in 1987 presented A.I.D. with new challenges in providing development assistance in Africa. It was Congress's clear intent, in approving this new initiative, that A.I.D. would no longer conduct business as usual in Africa. Rather, A.I.D. was encouraged to take advantage of the greater flexibility of the DFA to find new ways to make U.S. assistance to the region more coherent and effective.

A.I.D. has taken this mandate seriously. We are making a major effort to concentrate our programs on countries with the most growth potential, and to take a broad, systematic look at the problems in individual countries.

The overall goal of our Africa programs is to *encourage economic growth that is broad-based, market-oriented, and sustainable*. This goal was chosen because increased growth in African countries themselves is the only way to meet Africa's tremendous human needs on a continuing basis. Improving the incomes of individual Africans is fundamental to raising low standards of living throughout the region; increased growth is also needed to enable both public and private sectors to provide needed social services.

This is why A.I.D. is emphasizing growth around the world — to support the human progress that is the heart of development. The need for increased growth is particularly great in Africa, because of the continent's past stagnation and rapidly growing population.

Although the DFA is only about a year old, we can already point to several areas of impact. First, the proportion of development assistance allocated to the best-performing African countries has increased. Second, we have made major improvements in programming our assistance to address systemic problems and in coordinating our use of different kinds of resources — food aid as well as dollars, private resources as well as public — to support changes. Third, we are collaborating more with other donors and private voluntary organizations (PVOs).

### **Committed to Further Changes: Implications of the DFA for A.I.D.'s Future Program in Africa**

While recognizing the difficulties of demonstrating concrete results in a short timeframe, we are committed to strengthening our performance-based programming in the coming years. We intend to make U.S. assistance to Africa as effective as possible by continually focusing available resources on those issues of critical importance to the prosperity of Africa and tracking progress in meeting performance targets.

The first step in such a process is the development of this Bureau-wide DFA Action Plan. This Plan links *the goal of our assistance program under the DFA – sustainable, broad-based, and market-oriented economic growth in Africa* – with a strategy for achieving that goal. This strategy involves four key strategic objectives:

1. improving the *management of African economies* by redefining and reducing the role of the public sector and increasing its efficiency;
2. strengthening *competitive markets* to provide a healthy environment for private sector-led growth;
3. developing the *potential for long-term increases in productivity* in all sectors; and
4. improving *food security*.

The Plan emphasizes our intention to focus our limited assistance where it can make a difference, to address causes as well as

symptoms of underdevelopment, and to help the countries of sub-Saharan Africa deal with key problems which must be solved on a sustainable basis if the benefits of our assistance are to be experienced as broadly as possible. The plan stresses the importance of the political environment as well as the economic one, the role of the private sector as well as the public, and the short term as well as the long run. We are confident that the effective implementation of this DFA Action Plan will not only heighten the impact of U.S. assistance in Africa, but will also facilitate expansion of opportunities for the majority of Africans to improve their productivity and welfare over time.

### **Strategic Objectives, Targets, and Benchmarks: FY 89 - 91**

#### **Strategic Objective One: Improving the management of African economies by redefining and reducing the role of the public sector and increasing its efficiency.**

African economies, by and large, are characterized by substantial public sector involvement. For several reasons, this approach has resulted in economic stagnation, corruption and cynicism. Good economic management centers on: (1) ensuring that fiscal, monetary, and sectoral policies are flexible enough to adjust to and to reduce the cycles of boom and bust to which market economies are subject; (2) reducing public sector involvement in areas better suited to private investment and risk-taking; and (3) using public monies to provide "public goods" efficiently and equitably.

To accomplish this objective, A.I.D. will work in concert with other donors to:

- *improve stability* in African economies through better management of debts and better fiscal and monetary policies;
- *reduce government involvement in production and marketing* of goods and services; and
- *improve equity and efficiency in providing key public goods* particularly in the areas of family planning, health, education and transportation.

#### **Strategic Objective Two: Strengthening competitive markets to provide a healthy environment for private sector-led growth**

A country's economic growth – and thus how well its population can meet their needs for food, housing, education, and jobs – is determined by the rate of growth of its resources (primarily capital) and the efficiency with which resources are used. Where there are incentives to invest in enterprises of low productivity or, conversely, disincentives to invest in activities which will bring high returns, economic growth will suffer.

Experience has shown that, with few exceptions, open, competitive markets provide the best incentive structure for economic growth. Market-determined prices accurately signal supply and demand conditions and permit both consumers and producers to better gauge

where their interests lie. Removal of distorting price or regulatory controls over markets in Africa should, therefore, contribute to increasing economic growth in the region.

This leads to A.I.D.'s targeting on *liberalizing commodity and factor markets*.

### **Strategic Objective Three: Developing the potential for long-term increases in productivity**

Land and related natural resources, labor, capital, and technology are needed for production in Africa. The most efficient productive technique in the short term, of course, is that which results in the greatest output per unit of input today. However, this is not necessarily the most sustainable method of production. In most economies, investments are, therefore, made to ensure the continued availability of resources and to develop technologies which will permit greater productivity in the future.

The sector in which long-term increases in productivity are currently most threatened is agriculture. The mainstay of most African economies, agricultural productivity, as measured by per capita foodgrain production, has been declining across the continent since the early 1960's. Forests have literally disappeared and animal production is increasingly constrained by the diminishing quality and quantity of available pastureland. Attention must be paid now to:

- the *conservation of the natural resources* on which such productivity depends;
- the *development of new technologies* which permit these resources to be used more efficiently; and
- the *improvement of job-related skills* outside as well as in the agricultural production sector itself.

### **Strategic Objective Four: Improving food security**

In few African countries today do all citizens have access, at all times, to enough food for an active, healthy life, i.e., food security. Global food supply is not the problem. Countries and individuals who do not produce enough to meet their own consumption needs ("self-sufficiency") can purchase all the food they want – *if they have adequate incomes and if they have adequate access to markets.*

However, large numbers of people in Africa do not have this income or market access, giving rise to long-term or chronic food insecurity. In many African countries, less than half of the people are able to obtain sufficient food from their own efforts at farming. Most people, even farmers, must enter the market to purchase food. Inability to overcome this chronic food insecurity results in inadequate levels of nutrition, high morbidity, and early death.

In recent years, however, food insecurity has also resulted from short-term reversals, drought and civil disturbance. Although this kind of food insecurity is termed "transitory," it is likely to be a recurring problem for the foreseeable future. The challenge for both

African governments and donors is to recognize that it is the causes of food insecurity which must be addressed, not just the symptoms. This perspective is hard to maintain when television screens are filled with images of starving children.

In addition to general support for increased economic growth, A.I.D.'s efforts to improve the food security of African countries will address four specific concerns:

- finding ways to use food aid so as to *reduce interyear instability in supply* and, perhaps, prices;
- increasing the capacity of donors and African countries to *anticipate serious droughts and other emergencies* and to provide timely and effective assistance when emergencies occur;
- finding ways in the short term to increase incomes through *targeted welfare* programs to those most in need; and
- *increasing agricultural production and utilization.*

#### A.I.D.'s Management Objectives in Africa

Changing the way we do business means changing administrative procedures as well as more clearly focussing our program around priority development objectives and targets. In addition to continuing the management innovations already launched in FY 88, the Africa Bureau has established a Task Force to surface and debate major modifications to streamline policy and program management over the longer term.

In the immediate future, FYs 1989 and 1990, A.I.D. will aim to:

- use the flexibility of the DFA to the maximum extent by *concentrating resources in programs which are performing well*;
- *tie routine management* actions (budgeting, personnel) more closely to *DFA policy and program priorities*; and
- *put A.I.D.'s resources to work* in collaboration with those of other donors, both U.S. and African PVOs and the U.S. and international *business community*, to expand their impact.

DFA Legislation - excerpts.  
FY 91 Appropriation Act.

# One Hundred First Congress of the United States of America

## AT THE SECOND SESSION

*Began and held at the City of Washington on Tuesday, the twenty-third day of January, one thousand nine hundred and ninety*

### An Act

Making appropriations for foreign operations, export financing, and related programs for the fiscal year ending September 30, 1991, and for other purposes.

*Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the following sums are appropriated, out of any money in the Treasury not otherwise appropriated, for foreign operations, export financing, and related programs for the fiscal year ending September 30, 1991, and for other purposes, namely:*

#### TITLE I—MULTILATERAL ECONOMIC ASSISTANCE

##### FUNDS APPROPRIATED TO THE PRESIDENT

##### INTERNATIONAL FINANCIAL INSTITUTIONS

##### CONTRIBUTION TO THE INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

For payment to the International Bank for Reconstruction and Development by the Secretary of the Treasury, for the United States share of the paid-in share portion of the increases in capital stock for the General Capital Increase, \$110,592,409, to remain available until expended: *Provided*, That 25 per centum of the funds appropriated under this heading shall be withheld from obligation until the Secretary of the Treasury submits a report to the Committees on Appropriations which describes in detail the actions the International Bank for Reconstruction and Development has taken during the fiscal year 1990, and the actions it is contemplating for the fiscal year 1991, in support of energy and forestry conservation and family planning activities.

##### LIMITATION ON CALLABLE CAPITAL SUBSCRIPTIONS

The United States Governor of the International Bank for Reconstruction and Development may subscribe without fiscal year limitation to the callable capital portion of the United States share of increases in capital stock in an amount not to exceed \$2,899,610,241.

##### CONTRIBUTION TO THE INTERNATIONAL DEVELOPMENT ASSOCIATION

For payment to the International Development Association by the Secretary of the Treasury, \$1,064,149,500, for the United States contribution to the replenishment, to remain available until expended: *Provided*, That, before obligating funds made available under this heading, the President shall reduce from the amount obligated the United States proportionate share of any loans approved by the Board of Directors for China for non-basic human

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P. L. 101-513

not less than \$5,000,000 shall be made available only for the Central American Rural Electrification Support project: *Provided further*, That not less than \$150,000 shall be for technical assistance and training programs for Soviet and Czechoslovakian statisticians and economists administered by the Bureau of Labor Statistics, notwithstanding any other provision of law.

**SCIENCE AND TECHNOLOGY, DEVELOPMENT ASSISTANCE**

For necessary expenses to carry out the provisions of section 106, \$8,624,000.

**MICRO-ENTERPRISE DEVELOPMENT**

Of the funds appropriated by this Act to carry out chapter 1 of part I and chapter 4 of part II of the Foreign Assistance Act of 1961, not less than \$75,000,000 shall be made available for programs of credit and other assistance for micro-enterprises in developing countries: *Provided*, That local currencies which accrue as a result of assistance provided to carry out the provisions of the Foreign Assistance Act of 1961 and the Agricultural Trade Development and Assistance Act of 1954 may be used for assistance for micro-enterprises: *Provided further*, That such local currencies which are used for this purpose shall be in lieu of funds earmarked under this heading and shall reduce the amount earmarked for assistance for microenterprises by an equal amount.

**SUB-SAHARAN AFRICA, DEVELOPMENT ASSISTANCE**

For necessary expenses to carry out the provisions of chapter 10 of part I of the Foreign Assistance Act of 1961, as enacted by this Act, \$800,000,000, to remain available until September 30, 1992: *Provided*, That up to \$3,500,000 of the funds appropriated under this heading may be made available, notwithstanding any other provision of law, to support the participation of disadvantaged South Africans in private enterprise development in South Africa: *Provided further*, That such assistance provided to support the participation of disadvantaged South Africans in private enterprise shall not be used to provide support to organizations or groups which are financed or controlled by the Government of South Africa: *Provided further*, That not less than \$50,000,000 of the funds appropriated under this heading may be made available to assist activities supported by the Southern Africa Development Coordination Conference: *Provided further*, That funds appropriated under this heading which are made available for activities supported by the Southern Africa Development Coordination Conference shall be made available notwithstanding section 518 of this Act and section 620(q) of the Foreign Assistance Act of 1961: *Provided further*, That up to 5 per centum of the funds made available under this heading may be used for operating expenses of the Agency for International Development for increasing (above the level of resources available for fiscal year 1989) the organizational resources which the Agency has available for development assistance activities for sub-Saharan Africa, and shall be in addition to amounts otherwise allocated to the Agency's Bureau for Africa.

**ZAIRE**

None of the funds appropriated by this Act to carry out chapters 1 and 10 of part I of the Foreign Assistance Act of 1961 shall be transferred to the Government of Zaire: *Provided*, That this provision shall not be construed to prohibit nongovernmental organizations from working with appropriate ministries or departments of the Government of Zaire.

**ASSISTANCE FOR DISPLACED CHILDREN**

Of the aggregate of the funds appropriated by this Act to carry out part I of the Foreign Assistance Act of 1961, not less than \$5,000,000 shall be made available for programs and activities for children who have become orphans as a result of the effects of drought, civil strife, and other natural and man-made disasters: *Provided*, That assistance under this heading shall be made available in accordance with the policies and general authorities contained in section 491 of the Foreign Assistance Act of 1961.

**HUMANITARIAN ASSISTANCE FOR CAMBODIAN CHILDREN**

Of the aggregate of the funds appropriated by this Act to carry out part I of the Foreign Assistance Act of 1961, not less than \$5,000,000 shall be made available, notwithstanding any other provision of law, to provide humanitarian assistance through international relief agencies and United States private and voluntary organizations to children within Cambodia: *Provided*, That none of the funds made available under this heading may be made available, directly or indirectly, for the Khmer Rouge.

**ASSISTANCE FOR VICTIMS OF WAR**

Of the aggregate of the funds appropriated by this Act to carry out part I of the Foreign Assistance Act of 1961, not less than \$5,000,000 shall be made available, notwithstanding any other provision of law, for medical and related assistance, including the provision of prostheses and vocational rehabilitation and training, for civilians who have been injured as a result of civil strife and warfare.

**WOMEN IN DEVELOPMENT**

In recognition that the full participation of women in, and the full contribution of women to, the development process are essential to achieving economic growth, a higher quality of life, and sustainable development in developing countries, not less than \$5,000,000 of the funds appropriated by this Act to carry out part I of the Foreign Assistance Act of 1961, in addition to funds otherwise available for such purposes, shall be used to encourage and promote the participation and integration of women as equal partners in the development process in developing countries, of which not less than \$3,000,000 shall be made available as matching funds to support the activities of the Agency for International Development's field missions to integrate women into their programs: *Provided*, That the Agency for International Development shall seek to ensure that country strategies, projects, and programs are designed so that the percentage of women-participants will be demonstrably increased.

(d) Of the funds appropriated under title II of this Act for the Agency for International Development, up to \$10,000,000 should be made available for narcotics education and awareness programs (including public diplomacy programs) of the Agency for International Development, and \$40,000,000 of the funds appropriated under title II of this Act should be made available for narcotics related economic assistance activities.

**TURKISH AND GREEK MILITARY FORCES ON CYPRUS**

Sec. 560. Any agreement for the sale or provision of any article on the United States Munitions List (established pursuant to section 38 of the Arms Export Control Act) entered into by the United States after the enactment of this section shall expressly state that the article is being provided by the United States only with the understanding that it will not be transferred to Cyprus or otherwise used to further the severance or division of Cyprus. The President shall report to Congress any substantial evidence that equipment provided under any such agreement has been used in a manner inconsistent with the purposes of this section.

**COMMERCIAL LEASING OF DEFENSE ARTICLES**

Sec. 561. Notwithstanding any other provision of law, and subject to the regular notification requirements of the Committees on Appropriations, the authority of section 23(a) of the Arms Export Control Act may be used to provide financing to Israel and Egypt and NATO and major non-NATO allies for the procurement by leasing (including leasing with an option to purchase) of defense articles from United States commercial suppliers, not including Major Defense Equipment (other than helicopters and other types of aircraft having possible civilian application), if the President determines that there are compelling foreign policy or national security reasons for those defense articles being provided by commercial lease rather than by government-to-government sale under such Act.

**GENERAL AUTHORIZATIONS**

**SEC. 562. GENERAL AUTHORIZATIONS.—**

**SUB-SAHARAN AFRICA**

(a) AUTHORIZATION.—Part I of the Foreign Assistance Act of 1961 is amended by adding after chapter 9 the following new chapter:

**"CHAPTER 10—DEVELOPMENT FUND FOR AFRICA**

**"SEC. 496. LONG-TERM DEVELOPMENT ASSISTANCE FOR SUB-SAHARAN AFRICA.—(a) FINDINGS.—The Congress finds that—**

**"(1) drought and famine have caused countless deaths and untold suffering among the people of sub-Saharan Africa;**

**"(2) drought and famine in combination with other factors such as desertification, government neglect of the agricultural sector, and inappropriate economic policies have severely affected long-term development in sub-Saharan Africa; and**

**"(3) the most cost-effective and efficient way of overcoming Africa's vulnerability to drought and famine is to address Africa's long-term development needs through a process that builds**

upon the needs and capabilities of the African people, promotes sustained and equitable economic growth, preserves the environment, and protects the rights of the individual.

**"(b) AUTHORITY TO FURNISH ASSISTANCE.—**The President is authorized to furnish project and program assistance, on such terms and conditions as he may determine in accordance with the policies contained in this section, for long-term development in sub-Saharan Africa.

**"(c) PURPOSE OF ASSISTANCE.—**

**"(1) PURPOSE.—**The purpose of assistance under this section shall be to help the poor majority of men and women in sub-Saharan Africa to participate in a process of long-term development through economic growth that is equitable, participatory, environmentally sustainable, and self-reliant.

**"(2) USE OF ASSISTANCE TO ENCOURAGE PRIVATE SECTOR DEVELOPMENT.—**Assistance under this section should, in a manner consistent with paragraph (1), be used to promote sustained economic growth, encourage private sector development, promote individual initiatives, and help to reduce the role of central governments in areas more appropriate for the private sector.

**"(d) APPLICATION OF DEVELOPMENT ASSISTANCE GENERAL AUTHORITIES AND POLICIES.—**Except to the extent inconsistent with this section—

**"(1)** any reference in any law to chapter 1 of this part (including references to sections 103 through 106) shall be deemed to include a reference to this section; and

**"(2)** assistance under this section shall be provided consistent with the policies contained in section 102.

**"(e) PRIVATE AND VOLUNTARY ORGANIZATIONS.—**

**"(1) CONSULTATION TO ENSURE LOCAL PERSPECTIVES.—**The Agency for International Development shall take into account the local-level perspectives of the rural and urban poor in sub-Saharan Africa, including women, during the planning process for project and program assistance under this section. In order to gain that perspective the Agency for International Development should consult closely with African, United States, and other private and voluntary organizations that have demonstrated effectiveness in or commitment to the promotion of local, grassroots activities on behalf of long-term development in sub-Saharan Africa as described in subsection (c).

**"(2) DEFINITION OF PRIVATE AND VOLUNTARY ORGANIZATIONS.—**For purposes of this section, the term "private and voluntary organization" includes (in addition to entities traditionally considered to be private and voluntary organizations) cooperatives, credit unions, trade unions, women's groups, nonprofit development research institutions, and indigenous local organizations, which are private and nonprofit.

**"(f) LOCAL INVOLVEMENT IN PROJECT IMPLEMENTATION.—**Local people, including women, shall be closely consulted and involved in the implementation of every project under this section which as a local focus.

**"(g) PARTICIPATION OF AFRICAN WOMEN.—**The Agency for International Development shall ensure that development activities assisted under this section incorporate a significant expansion of the participation (including decisionmaking) and integration of African women in each of the critical sectors described in subsection (i).

**“(h) TYPES OF ASSISTANCE.—**

**“(1) PROJECTS AND PROGRAMS TO ADDRESS CRITICAL SECTORAL PRIORITIES.—**Assistance under this section shall emphasize primarily projects and programs to address critical sectoral priorities for long-term development described in subsection (i).

**“(2) REFORM OF ECONOMIC POLICIES.—**

**“(A) USE OF PROGRAM ASSISTANCE.—**Assistance under this section may also include program assistance to promote reform of sectoral economic policies affecting long-term development in sub-Saharan Africa as described in subsection (c), with primary emphasis on reform of economic policies to support the critical sectoral priorities described in subsection (i).

**“(B) PROTECTION OF VULNERABLE GROUPS.—**Assisted policy reforms shall also include provisions to protect vulnerable groups (especially poor, isolated, and female farmers, the urban poor, and children including displaced children) and long-term environmental interests from possible negative consequences of the reforms.

**“(3) OTHER ASSISTANCE.—**Funds made available to carry out this section shall be used almost exclusively for assistance in accordance with paragraphs (1) and (2). Assistance consistent with the purpose of subsection (c) may also be furnished under this section to carry out the provisions of sections 103 through 106 of this Act.

**“(i) CRITICAL SECTORAL PRIORITIES.—**The critical sectoral priorities for long-term development, as described in subsection (c), are the following:

**“(1) AGRICULTURAL PRODUCTION AND NATURAL RESOURCES.—**

**“(A) AGRICULTURAL PRODUCTION.—**Increasing agricultural production in ways which protect and restore the natural resource base, especially food production, through agricultural policy changes, agricultural research (including participatory research directly involving small farmers) and extension, development and promotion of agriculture marketing activities, credit facilities, and appropriate production packages, and the construction and improvement of needed production-related infrastructure such as farm-to-market roads, small-scale irrigation, and rural electrification. Within this process, emphasis shall be given to promoting increased equity in rural income distribution, recognizing the role of small farmers.

**“(B) NATURAL RESOURCE BASE.—**Maintaining and restoring the renewable natural resource base primarily in ways which increase agricultural production, through the following:

**“(i) Small-scale, affordable, resource-conserving, low-risk local projects, using appropriate technologies (including traditional agricultural methods) suited to local environmental, resource, and climatic conditions, and featuring close consultation with and involvement of local people at all stages of project design and implementation. Emphasis shall be given to grants for African local government organizations, international or African nongovernmental organizations, and United States private and voluntary organizations.**

“(ii) Support for efforts at national and regional levels to provide technical and other support for projects of the kinds described in clause (i) and to strengthen the capacities of African countries to provide effective extension and other services in support of environmentally sustainable increases in food production.

“(iii) Support for special training and education efforts to improve the capacity of countries in sub-Saharan Africa to manage their own environments and natural resources.

“(iv) Support for low-cost desalination activities in order to increase the availability of fresh water sources in sub-Saharan Africa.

“(2) HEALTH.—Improving health conditions, with special emphasis on meeting the health needs of mothers and children (including displaced children) through the establishment of primary health care systems that give priority to preventive health and that will be ultimately self-sustaining.

“(3) VOLUNTARY FAMILY PLANNING SERVICES.—Providing increased access to voluntary family planning services, including encouragement of private, community, and local government initiatives.

“(4) EDUCATION.—Improving the relevance, equity, and efficiency of education, with special emphasis on improving primary education.

“(5) INCOME-GENERATING OPPORTUNITIES.—Developing income-generating opportunities for the unemployed and underemployed in urban and rural areas through, among other things, support for off-farm employment opportunities in micro- and small-scale labor-intensive enterprises.

“(j) MINIMUM LEVELS OF ASSISTANCE FOR CERTAIN CRITICAL SECTORS.—The Agency for International Development should target the equivalent of 10 percent of the amount authorized to be appropriated for each fiscal year to carry out this chapter for each of the following:

“(1) The activities described in subsection (D)(1)(B), including identifiable components of agricultural production projects.

“(2) The activities described in subsection (i)(2).

“(3) The activities described in subsection (i)(3).

“(k) EFFECTIVE USE OF ASSISTANCE.—Assistance provided under this section shall be concentrated in countries which will make the most effective use of such assistance in order to fulfill the purpose specified in subsection (c), especially those countries (including those of the Sahel region) having the greatest need for outside assistance.

“(l) PROMOTION OF REGIONAL INTEGRATION.—Assistance under this section shall, to the extent consistent with this section, include assistance to promote the regional and subregional integration of African production structures, markets, and infrastructure.

“(m) DONOR COORDINATION MECHANISM.—Funds made available to carry out this section may be used to assist the governments of countries in sub-Saharan Africa to increase their capacity to participate effectively in donor coordination mechanisms at the country, regional, and sector levels.

“(n) RELATION TO OTHER AUTHORITIES.—

“(1) ASSISTANCE UNDER OTHER AUTHORITIES.—The authority granted by this section to provide assistance for long-term

development in sub-Saharan Africa is not intended to preclude the use of other authorities for that purpose. Centrally funded programs which benefit sub-Saharan Africa shall continue to be funded under chapter 1 of part I of this Act.

**"(2) TRANSFER AUTHORITIES.—**

**"(A)** The transfer authority contained in section 109 of this Act shall not apply with respect to this section.

**"(B)** The transfer authority contained in section 610(a) of this Act may not be used to transfer funds made available to carry out this section in order to allow them to be used in carrying out any other provision of this Act.

**"(3) REPROGRAMMING NOTIFICATIONS.—**Section 684A of this Act does not apply with respect to funds made available to carry out this section.

**"(4) PROCUREMENT OF GOODS AND SERVICES.—**In order to allow the assistance authorized by this section to be furnished as effectively and expeditiously as possible, section 604(a) of this Act, and similar provisions relating to the procurement of goods and services, shall not apply with respect to goods and services procured for use in carrying out this section. The exemption provided by this paragraph shall not be construed to apply to the Comprehensive Anti/Apartheid Act of 1986.

**"(c) SUPPORT FOR SADC PROJECTS.—**

**"(1) AUTHORITY TO PROVIDE ASSISTANCE.—**To the extent funds are provided for such purpose in the annual Foreign Operations, Export Financing, and Related Programs Appropriations Act, funds made available to carry out this chapter may be used to assist sector projects, in the sectors specified in paragraph (2), that are supported by the Southern Africa Development Co-ordination Conference (SADCC) to enhance the economic development of the member states forming that regional institution.

**"(2) SECTORS.—**The sectors with respect to which assistance may be provided under this subsection are the following: transportation; manpower development; agriculture and natural resources; energy (including the improved utilization of electrical power sources which already exist in the member states and offer the potential to swiftly reduce the dependence of those states on South Africa for electricity); and industrial development and trade (including private sector initiatives).

**"(3) RELATION TO DFA POLICIES AND AUTHORITIES.—**To the maximum extent feasible, the assistance authorized by this subsection shall be provided consistent with the policies and authorities contained in the preceding subsection of this section.

**"SEC. 497. AUTHORIZATIONS OF APPROPRIATIONS FOR THE DEVELOPMENT FUND FOR AFRICA.—**Funds appropriated to carry out this chapter are authorized to be made available until expended. It is the sense of the Congress that the authority of this subsection should be used to extend the period of availability of those funds whenever appropriate to improve the quality of assistance provided under section 496."

**(b) EVALUATIONS.—**It is the sense of the Congress that there should be periodic evaluations of the progress of the Agency for International Development in achieving the purpose specified in section 496(c) of the Foreign Assistance Act of 1961.

**(c) REPORTS TO CONGRESS.—**As part of the annual Congressional Presentation materials for economic assistance, the Administrator of the Agency for International Development shall include a descrip-

tion of the progress made during the previous fiscal year in carrying out chapter 10 of part I of the Foreign Assistance Act of 1961 in three countries in sub-Saharan Africa which represent differing economic situations and levels of progress. The description shall include—

- (1) the nature and extent of consultation to ensure local perspectives, as described in subsections (e)(1) and (f) of section 496;
- (2) the degree of involvement of local people in the implementation of projects having a local focus;
- (3) the extent to which there has been expansion of the participation and integration of African women in each of the critical sectors specified in section 496(i);
- (4) program assistance provided, including the amounts obligated, the criteria used for assisting reforms, and the provisions made pursuant to section 496(b)(2)(B) to protect vulnerable groups from possible negative consequences of the reforms; and
- (5) a description of the assistance for the critical sector priorities specified in section 496(i), by sector, including the amounts obligated.

(d) **CONFORMING AMENDMENTS.**—The Foreign Assistance Act of 1961 is amended—

- (1) in section 105(b)—
  - (A) by striking out “(b)(1)” and inserting in lieu thereof “(b)”; and
  - (B) by striking out paragraph (2);
- (2) in section 113(b)(1), by inserting “and chapter 10 of this part” after “this chapter”;
- (3) in section 116(e)(1)—
  - (A) by inserting “, chapter 10 of this part,” after “available under this chapter”; and
  - (B) by inserting before the period at the end of the first sentence “or under chapter 10 of this part, except that funds made available under chapter 10 of this part may only be used under this subsection with respect to countries in sub-Saharan Africa”;
- (4) in subsection (c)(1) of section 117 (relating to environment and natural resources), by inserting “and chapter 10 of this part” after “this chapter”;
- (5) by repealing section 121;
- (6) in section 123—
  - (A) in subsection (b), by inserting “and chapter 10 of this part” after “this chapter”; and
  - (B) in subsection (g), by striking out “121, or 491” and inserting in lieu thereof “491, or 496”;
- (7) in section 126(b)(1), by inserting “, and chapter 10 of this part,” after “this chapter”; and
- (8) in section 531(a), by inserting “or, in the case of countries in sub-Saharan Africa, chapter 10 of part I” after “chapter 1 of part I”.

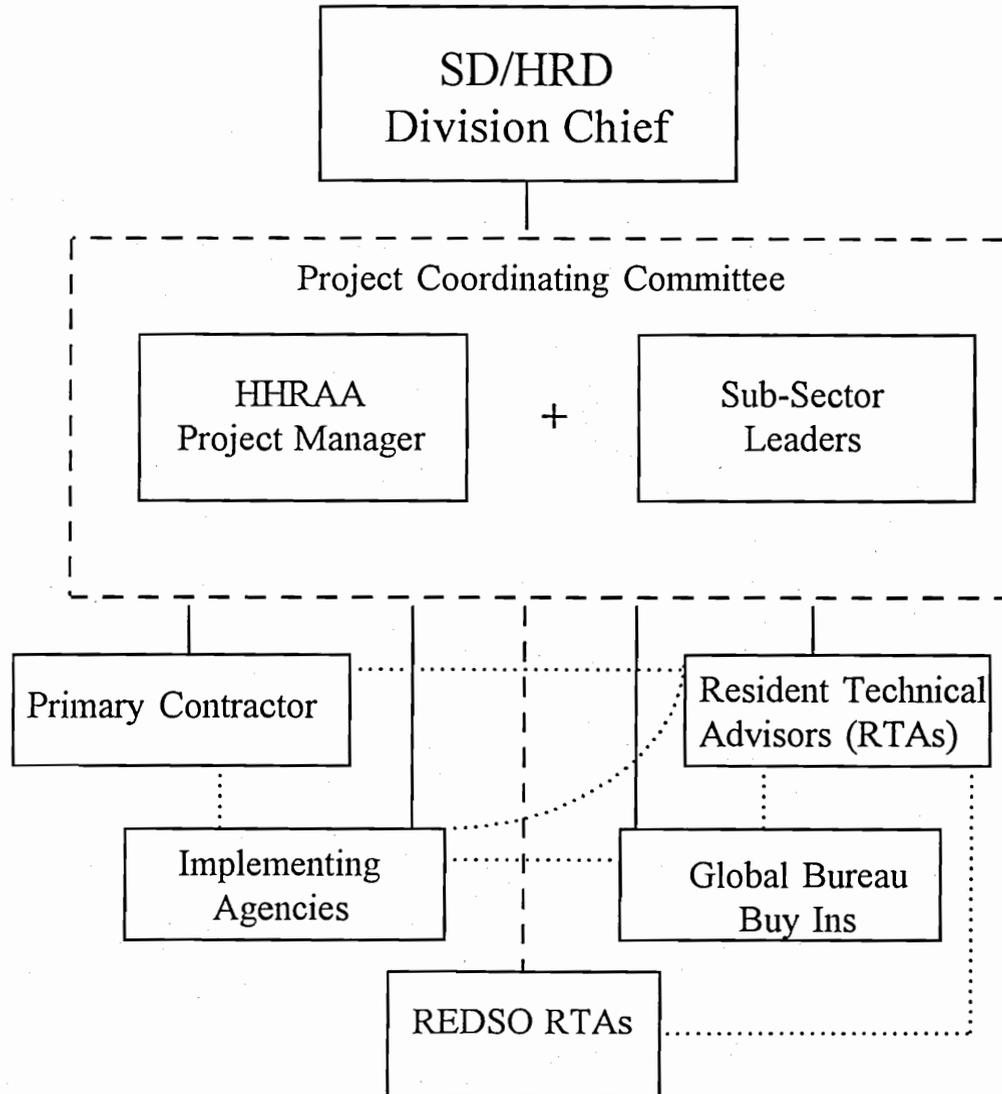
#### **EXPORT-IMPORT BANK**

The authorities made available under title IV of this Act for the Export-Import Bank may be used by the Bank, notwithstanding section 2(b)(2) of the Export-Import Bank Act of 1945, in connection with the purchase or lease of any product by any East European country, or any agency or national thereof: *Provided*, That section



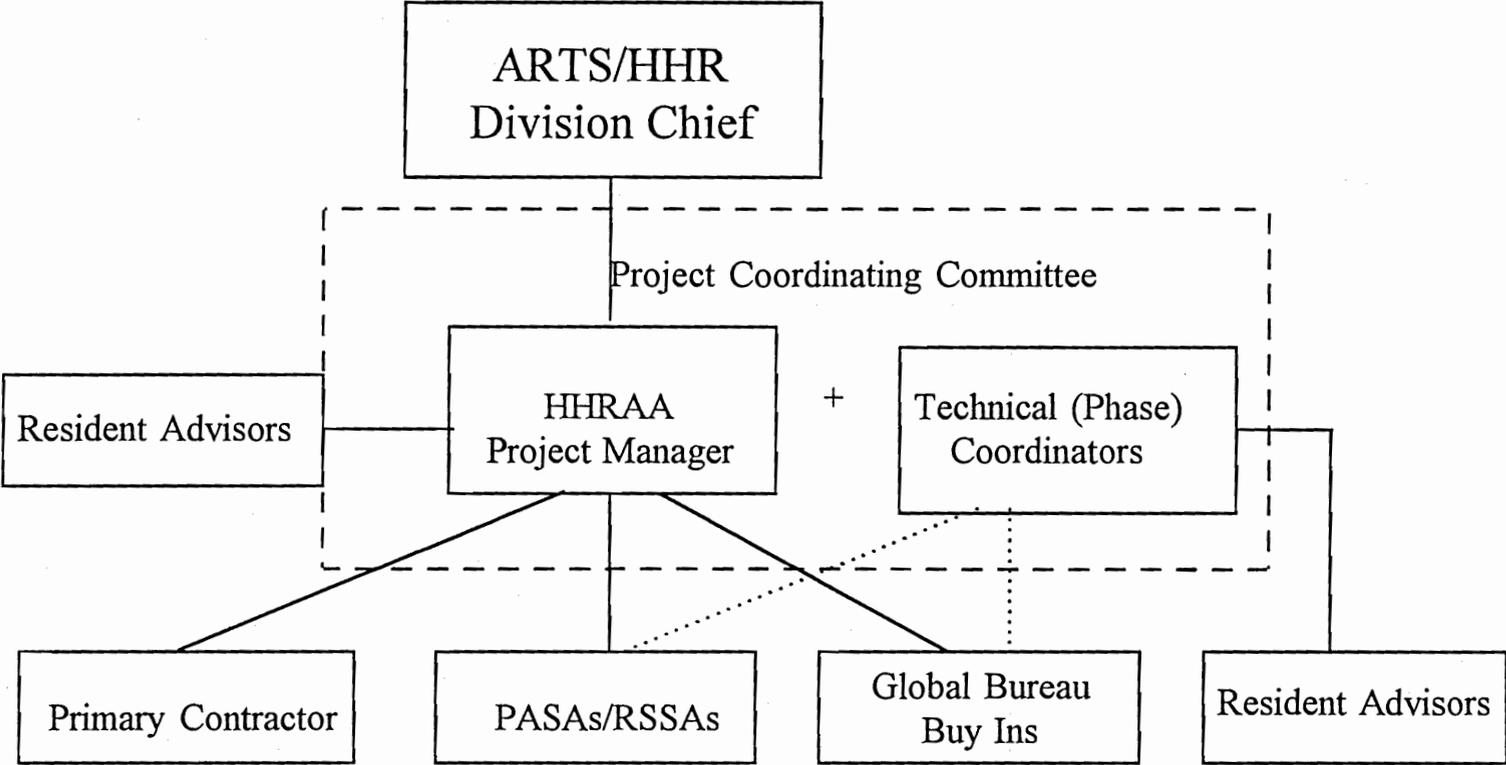
# HHRAA Implementation Structure

current



# HHRAA Management Structure

according to Project Paper



# **The Process of Developing an ARTS/HHR Analytic Agenda**

**Agency for International Development**

**Bureau for Africa**

**Office of Analysis, Research, and Technical Support  
Division of Health and Human Resources  
(AFR/ARTS/HHR)**

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## 1. Introduction

The Office of Analysis, Research and Technical Support (ARTS) of the A.I.D. Bureau for Africa places emphasis on carrying out research, analysis, and information dissemination activities, at the regional level, that influence the strategic, resource allocation, and operational decisions of A.I.D., African governments, the African private sector and other donors, with the aim of increasing the effectiveness of the broad range of resources available for African development. The Health and Human Resources Research and Analysis for Africa (HHRAA) Project (698-0483), in the Health and Human Resources Division of the ARTS Office, has been authorized as a mechanism to increase the utilization of research, analysis, and information in support of improved health, nutrition, education, and family planning strategies, policies, and programs in Africa.

In order to ensure greater impact, the issues for research, analysis and dissemination activities should be carefully selected and should respond to field needs. The challenge is to design a process for setting priorities that would ensure that the allocation of project funds are targeted at issues that will provide the greatest cost benefit, and ensure that the analytic activities remain relevant to host governments, African professionals and A.I.D. field staff. The Health and Human Resources Division of ARTS recognizes that the process of setting the analytic agenda is crucial for the success of HHRAA Project activities.

The issues identification process should devote sufficient time to the identification of gaps, constraints, and linkages of the issues prior to the development of research, analysis and dissemination activities. The management of the process should help to avoid duplication of effort. The decision making process should include a broad array of collaborating partners within and outside AFR/ARTS/HHR.

The analytic agenda development process must incorporate input from potential users of ARTS/HHR-generated information. Those potential users, mainly African public and private sector decision-makers, and A.I.D. Missions should be involved in the agenda setting process, which should be considered as ongoing and requiring new input regularly.

## 2. Developing Objective Trees

### 2.1 Purpose

The purpose of developing objective trees for ARTS/HHR's analytical areas is to create a hierarchy of logically and causally linked objectives to order research, analysis, and dissemination activities. The idea is to be able to place every analytic agenda activity within the framework of what the Development Fund for Africa (DFA) and the Agency have to achieved in Africa.

The objective trees provide the framework for assessing how analytic agenda activities will contribute to the DFA strategic objectives. The objective trees should also guide the selection of indicators for measuring the impact of analytic activities. Research, analysis, and dissemination directed toward major issues related to quality, equity, efficiency and effectiveness of programs in health, population, nutrition, and education, should yield valuable information which should contribute to broader development in Africa.

### 2.2 Objective Trees

The ARTS/HHR division seeks to increase the utilization of research, analysis, and information in support of improved health, nutrition, education, and family planning strategies, policies, and programs in Africa.

To move its work forward, ARTS/HHR has selected the following interim analytic areas for which objective trees are to be developed, to guide the analytic agenda setting process:

- Basic education
- Population/Family Planning
- Child Survival and Maternal Health
- Nutrition
- Infectious and Tropical Diseases
- Finance and Sustainability
- Information Dissemination

Within some of these interim analytical areas, certain sub-areas have been identified for more attention, such as HIV/AIDS, sexually transmitted diseases, tuberculosis, malaria and emerging health-related threats, the integrated case management of the sick child, infant and child feeding practices, safe motherhood and reproductive health. Once all the objective trees are developed, they should be put together and reviewed to identify overlaps and gaps among analytic areas in order to establish a more coherent ARTS/HHR objectives. In reviewing and refining the objectives trees, special attention should be paid to

cross-cutting targets. Examples of targets that cut across more than one topical analytical area are: improved decentralized planning, increased demand and use of quality HHR services, understanding community behaviors, and participation in HHR programs.

### **3. Developing a Strategic Framework to Guide Selection of Analytic Agenda Activities**

#### **3.1 Issues Identification Process**

The process of identifying information needs and gaps to be addressed by ARTS/HHR should be formalized in a way that ensures greater input from African decision-makers and A.I.D. field staff.

The issue identification process should include at least the following STEPS:

- a review of current AID HHR analytical activities;
- formal consultations with African decision-makers and A.I.D. field staff;
- review of the formal and informal literature on the issues identified;
- organized discussion groups with HHR experts.

#### **a. Review of current ARTS/HHR activities**

As a first step in the issues identification process, AFR/ARTS/HHR will conduct a portfolio review of ARTS/HHR ongoing activities to assess their relationship to the objective trees. This review of current status of analytical activities should assess progress toward ARTS/HHR strategic objectives, as well as identify areas where there are still information gaps.

The review's findings should be discussed through personal communications and small working groups with interested AID Global Bureau staff, including staff from some of the Global Bureau cooperating agencies (CA) and projects. These discussions should help ARTS/HHR to reevaluate ongoing R&A activities in each analytic area and to avoid unnecessary duplication of effort. This review process should also be used as an opportunity to learn about analytical activities being carried out by other development and research agencies focused on the social sector in sub-Saharan Africa (e.g., World Bank, WHO, Unicef, CDC, NIH, etc.).

b. Consultation with African decision-makers, researchers and A.I.D. field staff

To ensure that ARTS/HHR analytical program remains relevant and to maximize the chances that the results of the analytical work will be utilized by decision makers in the field, AFR/ARTS/HHR, with support from the SARA contractor, should seek wide participation in the issues identification process from African decision-makers and A.I.D. field staff.

Input from these groups should be gathered through various means, including electronic and written communications. AFR/ARTS/HHR and SARA staff should seek opportunities during regional conferences, technical workshops, and field visits to conduct formal issues identification exercises (questionnaires, focus groups, group discussions, interviews) as a way to maximize field participation in the process. The issues identification process for each analytic area should include, in addition to formal and informal communications, at least one structured working group discussion with African decision makers and AID field staff during each ARTS/HHR agenda setting cycle.

The HHRAA Project has made available to each REDSO a team of regional technical advisors (RTAs) in high priority areas such as HIV/AIDS, social-sector financing, education, and health policy. RTAs are to play an important front-line role in discussing issues with African decision-makers and professionals, and A.I.D. Missions.

c. Grouping and prioritization of issues

A preliminary list of suggested research, analysis, and dissemination issues should be established for each analytic area. An issues update exercise should be conducted to review research, analysis, and dissemination activities carried out to date and to identify gaps to be addressed. The identified issues should be grouped around the analytic area targets and then ranked by order of priority for relevance and potential beneficial impact for sub-Saharan Africa.

The following set of criteria should be used to prioritize issues:

- Does the issue represent an information need or gap?
- Is the issue important and a priority for African decision makers?
- Does the issue fall within ARTS/HHR's field of interest?
- Is the issue of regional significance?
- Can the issue be translated into a research and analysis question or into a product for dissemination?
- Does an analytic activity on the issue have the potential to impact on decision-making, policy, strategy, and program development?

The grouping and prioritization of the issues should be refined during the development of the strategic framework process described later in this document.

### 3.2 Working and Consultative Groups

#### a. Working groups

In order to ensure collaborative and participatory decision-making in the HHR analytic agenda implementation process, an AFR/ARTS/HHR staff, with support from the SARA contract, should organize small working groups to advise on a selected issue and be involved periodically in critical steps of the analytical agenda development and implementation process.

A working group should be made up of no more than 10 persons with expertise in the analytical agenda development and implementation issue to be discussed. As an illustrative example, a working group might be organized to discuss and advise on the selection of indicators to measure the impact of an analytic activity. A working group should be consulted at critical points of the analytic agenda development and implementation when its input is needed.

A working group will normally include Africa Bureau and Global Bureau staff, and outside experts as needed. The SARA contractor will frequently be called on to organize and to participate in those groups.

#### b. Consultative groups

AFR/ARTS/HHR, with support from the SARA contractor, should organize a consultative group for each one of the main analytic areas including dissemination. The objectives of the consultative groups will be to:

- advise ARTS/HHR on key issues and gaps;
- advise on selection of priority issues for the development of strategic frameworks for research, analysis, and dissemination;
- contribute to the development of strategies and methodologies to address these priority issues;
- advise on research, analysis and dissemination activities;
- advise on measurement of performance and impact of analytic agenda activities.

The consultative group should be made of experts on agenda setting, research development, implementation, and evaluation in their particular analytical area of expertise. The consultative group should meet at least once during the ARTS/HHR analytic agenda setting cycle.

The members of the consultative groups will include staff from AFR/ARTS/HHR, Global Bureau offices and projects, and U.S.- and Africa-based experts in HHR sectors. The SARA contractor should develop a list of experts in all the analytic areas. These lists will serve to identify and put together working and consultative groups when needed.

### 3.3 Development of a Strategic Framework

A strategic framework is a guide to the selection of analytic agenda activities in each analytic area. To ensure that the agenda activities reflect the strategic objectives of the HHRAA project, and that they have a good probability of influencing policy and programs in the field, their selection needs to be based on well identified information needs and gaps. This is what the strategic framework does.

The strategic frameworks for research and analysis provide the background and rationale for the choice of areas of concentration for HHRAA funding. They distill the literature, tap expert opinion, and review lessons learned to identify the gaps in research, analysis, and dissemination, and then, in the light of AID's comparative advantage in each area, to suggest the key topics that merit A.I.D.'s attention and support.

The strategic framework assesses and analyzes fundamental information needed to develop improved policies and strategies, as well as to design, implement and evaluate projects and programs related to each analytic area. This assessment and analysis also allows AFR/ARTS to prioritize potential analytical activities.

The strategic framework should not only identify information gaps, but also present ways to fill in these gaps. The framework should suggest designs and implementation approaches for research, analysis, and information dissemination. Selection of issues should take into account USAID's comparative advantage, the importance of the issues, and the likelihood that an analytical activity dealing with a particular issue will have an impact on decision making for programs in Africa.

Each strategic framework will include (see annex for detailed table of contents):

1. background information on the importance of the analytic area;
2. the purpose for developing a strategic framework;
3. the analytic area's objective tree;

4. presentation of information needs and gaps for the analytic area, supported by relevant references;
5. prioritization of information needs by applying the ARTS/HHR set of criteria;
6. proposed approaches and methodologies for implementing research, analysis and dissemination activities to fill the gaps;
7. recommendations for selecting, sequencing and phasing of research, analysis, and dissemination activities;
8. Monitoring and evaluation framework.

Field inputs will refine the strategic framework. The field input may be gathered by sending the strategic framework to selected decision-makers and experts in Africa for comments. The draft strategic framework can also be discussed by a consultative group organized in Africa, preferably in conjunction with regional meetings or conferences.

### **3.4 Analytic Agenda Setting**

Each year, ARTS/HHR will draft an analytical agenda for each of the areas, using the strategic framework as a background and reference. The agenda will include the selected research, analysis, and dissemination activities, a preliminary timetable, a rough budget, and identification of potential resources for carrying out the work.

The selection of activities should take into account areas of USAID's comparative advantage, importance of the activity and the likelihood of having impact on decision-making for programs in Africa.

The agenda will be focused to ensure manageability and to increase the probability that the products of the agenda activities will be adequately disseminated and absorbed by ARTS/HHR clients. The analytic Agenda will be discussed by ARTS/HHR's HHRAA Project oversight committees and the final selection decisions will be made by the Bureau's senior management.

Because the research, analysis, and information dissemination should be demand driven, ARTS/HHR may need to revise the strategic framework as new information and demands come from African institutions and decisions makers and AID Missions and field staff.

## 4. Developing Research, Analysis, and Dissemination Activities

### 4.1 Development of Proposals

Once an ARTS/HHR analytical agenda is set for the analytic area, proposals should be sought to address the specific analytical agenda activities. A research proposal may be developed by the ARTS/HHR staff and/or Technical Advisors including REDSO Technical Advisors. Global Bureau staff, and cooperating agencies with expertise in the analytic area may collaborate in the development of proposals. The SARA contractor with its pool of technical specialists and African collaborators (individuals and institutions) should also assist in the development of proposals.

The HHRAA project will support a range of approaches for implementing the R&A activities. The methodological approaches may include literature reviews and syntheses of existing studies, analyses of existing data sets, syntheses followed by short-term field work to verify conclusions, and multiple-country research with collected primary data.

In developing proposals to carry out analytical agenda activities, the principal clients of ARTS/HHR - mainly African decision-makers and A.I.D. field staff - should be kept in mind. The proposal should state to what degree Africans or African institutions will be involved with the activity during implementation. The proposal should outline how the proposed activity will directly or indirectly contribute to African institutional strengthening and capacity building in HHR areas of research, analysis, and dissemination.

The dissemination of project-generated research and analysis products should be an integral part of the R&A process. Each research proposal must include its plans for dissemination, following the dissemination guidelines that have been prepared for HHRAA activities (see Annex on dissemination guidelines).

A proposal must include a timetable and indicators for measuring and evaluating the performance and the impact (decisions influenced) of the analytic activity. Priority should be given to proposals that will be completed within a cost-effective time frame and have the potential for high impact on the formulation of policies and strategies.

### 4.2 Review and Selection of Proposals

Because of their scientific and technical significance, and the level of effort required for ARTS/HHR analytical agenda activities, most of the proposals will be reviewed by special review committees. A group of professionals with

expertise in the analytic area under review will be pulled together to review the proposals. The SARA contractor should assist in organizing the review committees (see 3.2.a, Working groups), that will review the proposal for its scientific soundness.

A set of criteria has been developed to guide the review and selection process (see Annex on criteria for proposal review). In addition to the methodology and technical content of the proposal, attention should be paid to the dissemination strategy proposed, to indicators and means of measuring the performance, and impact of the proposed analytical activity. The SARA project staff and its technical specialists will assist in formulating and evaluating proposals to be funded by the HHRAA Project.

The HHRAA Project Officer and ARTS/HHR Chief will have the final decision for proposal selection, taking into account the expert review committee's comments and recommendations, and discussions of HHR's HHRAA Project technical oversight committees.

A special review committee may not be necessary for proposals dealing with smaller discrete activities of the analytic agenda that require a lesser level of effort. The review and selection in those cases can be carried out by ARTS/HHR core staff and the HHRAA Project technical oversight committee.

#### **4.3 Implementation of Research, Analysis, and Dissemination Activities**

The mechanisms for implementing the analytical agenda activities may include conducting the study within A.I.D., utilizing the R&D contracts with the expertise in the area, or contracting with other U.S. Government agencies and Universities. All agencies implementing analytical agenda activities should identify and establish collaborative working linkages with African institutions that can implement selected R&A activities. African participation, especially if the activity has a field component should be ensured.

The HHRAA Project should fund the dissemination of information through various channels. The project will prefer to see dissemination strategies that improve access to and use of information by decision makers and program managers. Each important R&A finding should be disseminated in a variety of ways to ensure maximum exposure. The integrating of R&A findings into ongoing programs, and the linkage of project-supported R&A activities with follow-up technical assistance will be among the mechanisms used to ensure utilization of R&A findings.

## **5. Monitoring and Evaluation**

### **5.1 Development of indicators for monitoring and evaluation**

Indicators and means of verification should be stipulated at all levels to ensure that activities are linked to targets, to strategic objectives, and to purposes. Attention should be paid to the selection of indicators for the levels where there will be control and accountability for the outputs. A mix of process and impact indicators is to be considered in the selection.

Each proposal for an agenda activity, as stated earlier, should have a monitoring and evaluation plan with clearly selected benchmarks to monitor progress and performance, and indicators for assessing the impact. Agenda activities will be monitored using a standardized monitoring system.

### **5.2 Assessment of research, analysis and dissemination impact**

Means of gathering information on the impact (influencing decisions) of the activity will be identified during implementation.

The indicators for measuring the people-level impact can be outlined at least at a conceptual level and process indicators and assumptions should be laid out to show how the analytical activity will contribute to the objectives of the DFA.

## **6. Conclusion**

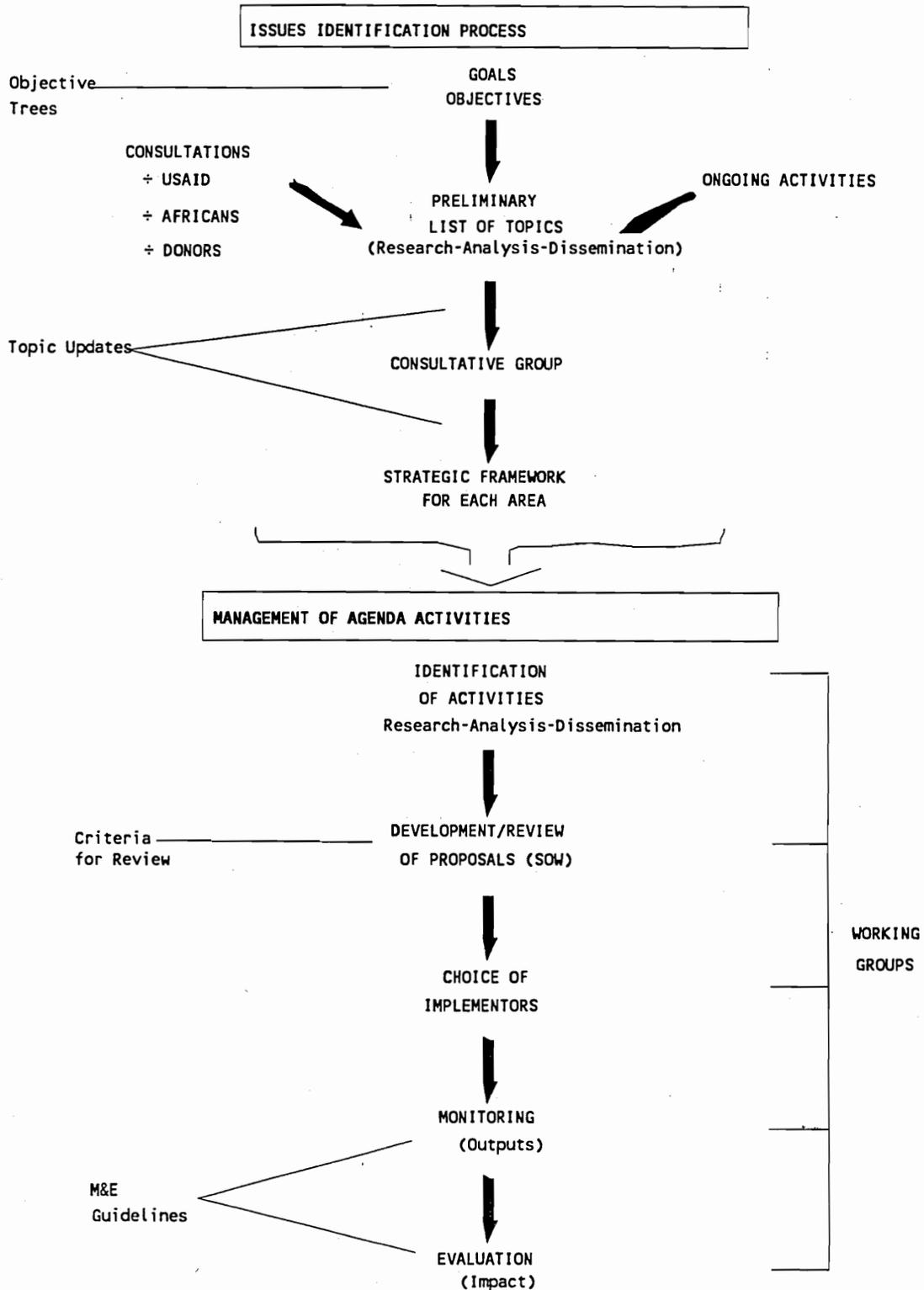
The rationale behind the HHRAA project is that both regional and national information is needed to guide policies and programs. While Missions and host governments properly focus on their national needs, information exchange within regions or sub-regions may contribute greatly to national programs; similarly, national experiences and information need to be compared across countries to provide a broader perspective on issues that affect more than one country.

The process outline above is meant to guide - using a collaborative approach - the selection of agenda activities, and the monitoring and evaluating of impact. HHRAA-supported R&A should be directly linked to policy and programming, guided by African and A.I.D. field inputs. AFR/ARTS/HHR and SARA staff will be consulting widely with Missions, REDSOs, Donor Agencies, NGOs, regional and national institutions, and African professionals to develop and maintain linkages between analysis and decision making.

## 7. Annexes

- 7.1 Framework for HHRAA implementation process
- 7.2 Proposed table of contents of a strategic framework
- 7.3 Timeline for executing the main tasks of the process
- 7.4 HHRAA dissemination guidelines

FRAMEWORK FOR HHRAA IMPLEMENTATION



## Proposed Table of Contents of a Strategic Framework:

### I. Background

Provide some background information on the importance of the analytic area, and the rationale for selecting and concentrating A.I.D./AFR efforts in this particular HHR area.

### II. Purpose of the Strategic Framework

State the purpose for developing a strategic framework for research, analysis, and dissemination in this analytic area.

### III. Objective

Provide the objective tree (that has been developed) that shows how the targets selected for this analytic area will contribute to the overall objectives and goals of the Bureau and the Agency.

### IV. Information Needs and Gaps

Present a summary of the issues identification process for the analytic area. The information needs and gaps identified during the consultations with decision-makers - especially in Africa, and the findings of a literature review, should be presented and supported by relevant references.

### V. Prioritization of information needs

Prioritize the information needs and gaps to be addressed by applying a set of criteria:

- linkages to the objective tree
- assessment of the potential impact on decisions
- regional significance
- other Donor/Institutions support
- A.I.D.'s comparative advantage

### VI. Research, analysis, and dissemination approaches

Present research, analysis, and dissemination approaches to address the information needs and gaps identified as priorities. Describe how and by whom

research will be undertaken; what the audience and product(s) will be in order to plan a dissemination strategy.

**VII. Recommendations of research, analysis, and dissemination activities**

Recommendations on sequencing and phasing of research, analysis, and dissemination activities to increase the potential for having impact on decisions.

**IX. Monitoring and evaluation framework**

Define the indicators, the information that will need to be gathered, and how to monitor the analytic activities and measure their impact on decisions.

## ARTS/HHR Analytic Agenda Development Process

Analytic Area \_\_\_\_\_

Timeline for Executing the Following Main Tasks:

TASKS	1993					1994				
	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY
1. Objective Tree Development										
2. Identification & prioritization of issues										
3. Strategic framework development										
4. Consultative meeting with US-based experts										
5. Consultative meeting with Africa-based experts										
6. Selection of analytic agenda items/questions										
7. Solicitation of proposals and potential implementing institutions										
8. Submission and review of proposals										
9. Monitoring and evaluation framework development										
10. Approval of proposal activities/scopes of work										
11. Allocation and obligation of funding										
12. Implementation of approved and funded analytic agenda activities										
13. Measurement of performance and impact										

## HHRAA DISSEMINATION GUIDELINES

*In the absence of better information, decision-makers may not be making optimal strategy, policy, or program choices. The impact of better technical information should not be overstated...But credible information that is relevant to the needs of policy makers and program managers, based on well-documented experience and sound research methods, and disseminated in a form that is useful to decision-makers has a greater chance of being factored into the decision-making process than does unconvincing, irrelevant, or poorly presented information.*

HHRAA Project Paper, page 22

The HHRAA project seeks African participation in the identification of issues to be addressed, and, likewise, considers dissemination to be part of the overall planning process to meet the pressing information needs of decision-makers (African, USAID, PVOs, donors).

By placing dissemination directly within the planning process, the anticipated results of each HHRAA activity are articulated from the beginning, and guide the design of both the research *and* the dissemination. In addition, by setting out - at the beginning - the results anticipated from the dissemination component of the activity, this will ensure that it is integrated into the monitoring and evaluation process.

Mechanisms for sharing results may include - besides reports - newspaper articles, articles in identified newsletters and journals, packaged syntheses, news releases from XA, workshops/seminars/conferences, electronic bulletin boards, radio programs or videoconferences.

The following are the procedures that constitute the research, analysis, and dissemination process:

- Issues Identification
  - consultations
  - literature reviews
  - consultative groups
- Agenda Setting
  - strategy paper
  - selection of research & analysis priorities

- Research & Analysis Activities' Design
  - R&A goal/purpose/objectives
  - identification of implementation organization
  - identification of audiences
  - identification and selection of dissemination channels
  - development of monitoring and evaluation indicators

The planning process, therefore, will integrate, from the beginning, in the activities' scopes of work, the desired results, the target audiences for these results, and the channels selected to reach the audiences with the results. The monitoring and evaluation indicators will include benchmarks for reporting on each stage of the dissemination plan.

A dissemination plan will identify the kinds of products (and for which audiences):

- book, report, brochure, conference/meeting, media presentation, etc.;

It will indicate numbers:

- publication print run, how many meetings, etc.;

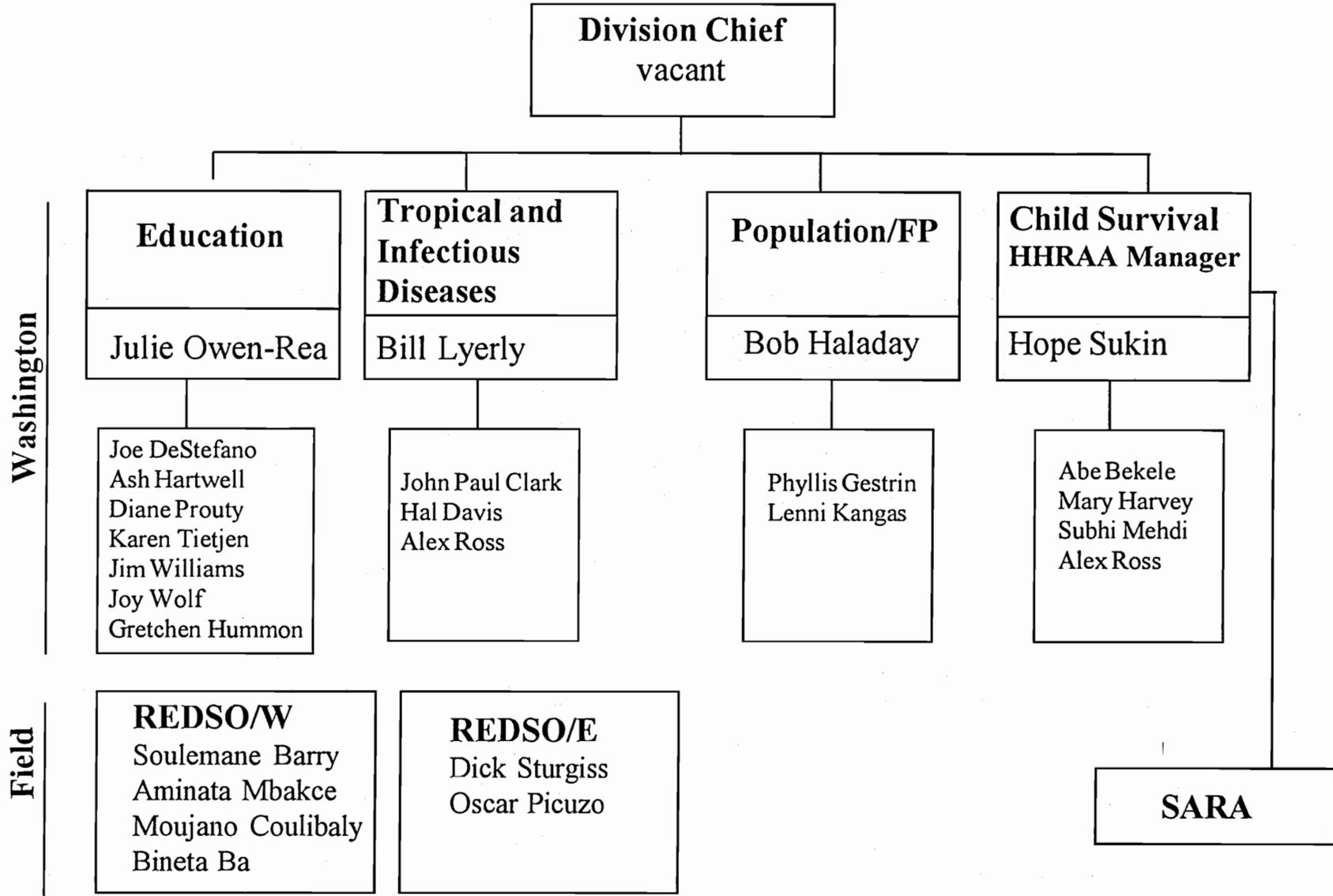
It will indicate, when appropriate, that a mailing list will be developed;

It will specify (after consultation with ARTS/HHR activity manager) numbers of the product to be delivered to ARTS/HHR.

It will include an adequate budget for dissemination.



# HHRAA Staffing



**Health and Human Resources for Africa (HHRAA Project)**  
**Staffing by Sub-Sectors**  
 October 28, 1994

	Technical Area	Phone	Location
<b>Education</b>			
Julie Owen-Rea <sup>1</sup>	Education Officer	202-647-8259	2744 NS
Joe DeStefano <sup>2</sup>	Education Policy	703-235-4437	300 SA-8A
Karen Tietjen <sup>2</sup>	Education Economics	703-235-5437	"
Ash Hartwell <sup>3</sup>	Education Policy	703-527-5546	IIR/IEQ
Diane Prouty <sup>3</sup>	Classroom Instruction	"	"
Joy Wolf <sup>3</sup>	Social Anthropology	"	"
Gretchen Hummon <sup>3</sup>	Research Assistant	"	"
James Williams <sup>4</sup>	Education Research/Plann	703-235-4190	220 SA-8A
<b>Tropical and Infectious Diseases</b>			
Bill Lyerly <sup>1</sup>	Trop/Infec. Diseases	202-647-6543	2744 NS
John Paul Clark <sup>5</sup>	Malaria/HIV-AIDS	703-235-9100	300 SA-8A
Hal Davis <sup>5</sup>	Epidemiology, STDs	703-235-5434	"
Alex Ross <sup>5</sup>	Health Policy	703-235-4453	"
<b>Population</b>			
Bob Haladay <sup>1</sup>	Family Planning/CS	202-647-8767	2744 NS
Lenni Kangas <sup>6</sup>	Op. Research/FP	202-647-7186	"
Phyllis Gestrin <sup>5</sup>	Reproductive Health	703-647-4446	300 SA-8A
<b>Child Survival</b>			
Hope Sukin <sup>1</sup>	Nutrition	202-647-8907	2744 NS
Mary Harvey <sup>7</sup>	Immunization	202-647-8553	"
Phyllis Gestrin <sup>4</sup>	Sick Child	703-647-4446	300 SA-8A
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# **Report on Results**

**Health and Human Resources Analysis for Africa (HHRAA)**  
(698-043)

AFR/ARTS/HHR  
Agency for International Development  
Washington, D.C.  
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## I. Introduction

This report is the first annual HHRAA project "Report on Results." The purpose of this "results report" is to provide HHRAA managers with information on HHRAA project performance results after one year of implementation to assist them in improving the project and in managing for results. The report has its origins in various lessons from the management excellence literature. These lessons include the following.

*Lesson:* "Organizations that measure the results of their own work -- even if they do not link funding or rewards to those results -- find that the information transforms and enhances performance."

*Lesson:* "When organizations publish real results, and do so credibly, performance and productivity can improve dramatically."

*Lesson:* The first step in improving performance is to judge and act on the basis of facts. As much as possible, decisions must be made on the basis of accurate and timely data, not on wishes, hunches or "experience" .

*Lesson:* "Process improvement activities have been found to be one of the few "universally beneficial practices" that can have an immediate and positive impact on performance. Organizations that made frequent use of such practices ... tended to have higher performance than ... the other(s)... ."

*Lesson:* The active involvement of stakeholder in project data gathering, analysis and evaluation, substantially increases the use of the findings for project improvement.

This report and the recently-established performance management system in the HHRAA project encourages application of these lessons in the following ways:

- This results report allows HHRAA project managers to measure the results of their own work. it provides information to help them assess their own performance and refine it in order to achieve project objectives.
- The results report conveys information on actual results and lack of results. Hence it is credible. By compiling and circulating the information openly, the project "publishes results".
- The results report is based on empirical data provided by project managers.
- The results report and action agenda provide the information needed to initiate process analysis and improvement activities within the project. Processes in HHRAA that may require analysis and improvement activities might include: information flow processes, dissemination processes, financial flow processes, approval and feedback processes and communication processes, especially those with the field. As just one example, if the data provided in the report

indicate that the current information flow processes within the project are weak, managers will need to initiate a process for analyzing and improving information flows (by appointing a team responsible for analyzing and improving the process) until data in subsequent results reports indicate that the process has been improved. The action agendas at the end of this report will help managers determine which project processes need to be analyzed and improved in order to get results. Note that the concept of "improvement activities" is adapted from the management excellence literature and differs from the more traditional concept of "follow-up" activities.

The results report differs from traditional A.I.D. evaluations in the following ways.

- It is not a "stand-alone" document. Traditional evaluations are frequently prepared for many audiences and consequently they include much background information on the project. The results report is prepared primarily for project managers who do not need background information on the project but need information on project performance.
- It is prepared by project managers, not by external evaluators. Traditional evaluations are usually prepared by a team of consultants external to the project. Results reports are prepared by project managers to measure the results of their own work.
- It is as short and succinct as possible to allow managers to quickly grasp what needs to be done to get results. Traditional evaluations frequently are more lengthy and usually provide an in-depth discussion of issues affecting the project. The emphasis in this report is on empirical data that indicate achievement of results to date, or lack of results, in specific areas rather than a lengthy discussion of issues.

This report attempts to answer the following questions as articulated by HHRAA managers:

- How well is HHRAA performing with respect to the output and purpose-level standards set forth in the project paper?
- How well is HHRAA performing with respect to information flows?
- How well is HHRAA performing with respect to outcomes -- specifically dissemination and African participation?
- How well is HHRAAA performing in the area of finance -- specifically obligations and expenditures?
- How well is HHRAA performing with respect to management? Are needed management actions taking place in a timely fashion?
- How well is the HHRAA contractor (the SARA project) performing with respect to the performance standards set forth in the contract?

- How well is HHRAA performing with respect to other issues managers want to know about?

This report uses the following performance indicators to assess performance and results to date:

- performance indicators from the project paper logframe
- performance indicators based on the project data activity sheets
- performance indicators from the SARA subcontract
- performance indicators based on other performance standards specified by HHRAA managers (these frequently involve "annual management indicators" such as "approved workplans in place for all managers" and most were specified in interviews with HHRAA managers). HHRAA and SARA managers worked closely with the consultants to establish the format for this report. All managers' questions and indicators included in this report are those that HHRAA managers themselves said they wanted to use to track performance and results.

The report presents the data that are available for each indicator. However, data are not always available for every indicator. In these cases, the report indicates that there is an information gap. HHRAA managers will need to decide if the information gap should be addressed by the time the next annual results report is prepared. Based on the data that are gathered, each section presents findings (presentation of the data gathered), conclusions (the judgement reached about or the interpretation of the data) and recommendations (the suggested actions that HHRAA /SARA staff might take).

Most of the indicators that are used in this report to assess performance and results should also be used in the next annual results report to allow managers to "measure the results of their own work" and assess project performance trends over time.

Finally, a substantial portion of the information in this report is drawn from the current Activity Data Sheets. The reader should take into account that the preparation of the Activity Data Sheets by the research contractors is a relatively new activity and represents the project's first steps toward improving the information flow. It is to be expected that, at this early stage in project implementation, many aspects of information flow will be weak. However, this report is intended to assist managers and contractors to improve the information flow -- and, thus, the empirical basis for management decision-making in the future. By setting forth measurement indicators, and thus informing contractors of the specific standards by which their performance will be measured, it is hoped that this report will help managers and contractors refine and improve the quality of information that they provide to senior HHRAA managers and their performance in the future.

## II. Performance and Results Based on Performance Indicators

### A. Output and Purpose-Level Performance and Results Based on Project Paper Logframe Performance Indicators

#### 1. Findings, Conclusions and Recommendations on Outputs and Purpose Achievement

This section provides information to answer the question: how well is HHRAA performing with respect to the outputs and the objectively verifiable indicators established in the project paper logframe? The questions and indicators included in this section reflect the outputs and indicators exactly as they were set forth in the project logical framework. Key findings, conclusions and recommendations with respect to output and purpose level performance and results are as follows. The data to support the findings are presented in sections 2 and 3 below.

***Finding #1.*** With respect to year one outputs, in most cases the HHRAA project has met or substantially exceeded the standards for these project elements in the project paper.

***Conclusion:*** An enormous amount of work has been accomplished by HHRAA and SARA staff after only one year of implementation. Given the magnitude of outputs to date, one would, under most circumstances, conclude that the project would be well along the way toward the achievement of the project purpose and the overall goal. However, the question arises whether continued achievements of outputs at the levels indicated in the project paper logframe will actually lead to purpose and goal achievement, in the absence of a strategic plan to achieve the objective of use of the research. Will the dissemination of numerous research papers and syntheses actually lead to use of the research to support improved programs and policies? This question should be considered a hypothesis to be tested through strategic planning and evaluation, since there is not necessarily a causal relationship between the production and dissemination of research and its use in support of improved programs and policies. Dissemination is the critical project element that requires sustained attention throughout the life of the project through team work and strategic planning. In the absence of strategic dissemination plans for each sub-sector, there would be concern that much of the critically-important work of the project may be neglected.

***Recommendation:*** HHRAA and SARA staff, working in teams, should develop strategic dissemination plans for each sub-sector, based on the timing of the availability of key research findings, the nature of the findings themselves, potentially receptive target groups, prior expressed interest of decision-makers and advocacy groups and the availability of RTAs to follow-up and assist in the implementation of the dissemination plan, among other factors. Each subsector plan should include country-specific objectives, e.g., use of the sick child logarithm in five countries. To the extent possible, the countries, ministries and advocacy groups etc. should be identified in the plan, which would include an evaluation strategy. By linking an evaluation plan to each sub-sector dissemination strategy, project managers will be able to track and document purpose-achievement in each sub-sector. Additional comments on approaches

to developing strategic dissemination and evaluation plans are included in Section, ---- Evaluation.

**Finding #2:** After one year, the project is already able to document, in an anecdotal fashion, several instances of use of HHRAA research in program development and policies.

**Conclusion:** It is to be expected that purpose-level achievements after only year of implementation would lack detail and not be empirically-based. As the project's internal evaluation system is implemented, next year's report should contain greater detail and data on purpose-level achievements.

**Recommendation:** HHRAA managers should make evaluation of some dissemination activities a high priority in 1994, through rapid, low-cost evaluations (e.g., case studies conducted by project staff) of important dissemination efforts. Ideally, this should be done through the development of subsector dissemination and evaluation plans, as described above and in the "HHRAA Performance Measurement and Evaluation Manual" (p.--). Even if the recommendation to develop sub-sector dissemination strategies is not adopted, project staff should identify key dissemination activities for evaluation in 1994. HHRAA managers should appoint a project team that is responsible for "improvement activities" in the area of dissemination and evaluation during 1994.

## 2. Output Data on Performance and Results

- a. Has the project produced in the first year the number of Syntheses as planned in the project paper? Indicator as stated in the project paper = 5

### **Results:**

- 9 child survival lessons learned papers;
- 1 AIDS prevention lessons learned paper (SARA);
- 3 APAC population docs prepared; (SARA)
- Sustainability evaluation of CCCD country projects
- Child survival Strategy for Africa (SARA)
- 1 comparative review of the economic impact of selected infectious diseases in Africa
- synthesis of 6 book-length NAS documents to a 50 page report (SARA)

### Other HHRAA publications (non-syntheses):

- Overview of A.I.D. Basic Education programs in Sub-Saharan Africa
- Immunizations in Africa - Issues paper
- Child Survival Portfolio Review
- Conceptual Framework for Famine analysis : A Household Income Approach
- Budgetary impact of NPA in Education Sector

- b. Has the project produced in the first year the Syntheses that include field verification with African participation in design and implementation, as planned in the project paper? Indicator as stated in the project paper = 4 . It is not clear how this output differs from the one below.
- c. Has the project produced in the first year the number of Multi country Research activities with African participation in design and implementation as planned? Indicator as stated in the project paper = 2.

**Results:** Many examples of this type of research are underway. They are too numerous to list all here. For example:

- the Center for African Family Studies in Nairobi will be the lead African institution for conducting an assessment of urban family planning delivery in Kenya, Malawi, Nigeria and elsewhere.
- The East and Southern Africa Consortium for Reproductive Health in Tanzania will be responsible for the study of the incidence of abortion and post-abortion contraception in three African countries. Also, assessments of the sustainability of CCCD projects were completed in Nigeria, Guinea, Lesotho and Rwanda as well as a comparative review of the economic impact of selected diseases in Africa.

- d. Has the project disseminated in the first year of the project the number of technical reports as planned in the project paper? Indicator as stated in the project paper = 10.

**Results:**

- 100 HIV/AIDS Impact booklets
- 200 Population status Reports
- 500 copies AIDS prevention lessons learned papers (all SARA work)
- how many copies of the 9 child survival papers? find out on Monday

- f. Has the project in the first year disseminated the number of technical bulletins as planned in the project paper? Indicator as stated in the project paper = 4.

**Results:** No information. No definition in project paper of "technical bulletin". How does a technical bulletin differ from a technical report?

- g. Has the project used other dissemination modes (e.g., media) during the first year as planned in the project paper? Indicator as stated in the project paper = 4.

**Results**

- 2 press releases
  - exploring potential to use USIA's Voice of America and Worldnet to reach African decision-makers\*
  - inventory of electronic technologies used in Africa
  - use of African institutions as dissemination channels
  - computer-based presentation of nutrition data to decision-makers (all SARA work)
  - BUCEN-AIDS data base- HHRAA funded
- h. Has the project sponsored or supported the number of workshops in Africa as planned in the project paper? Indicator as stated in the project paper = 2.

**Results:**

- in Niger
  - in Kenya
  - in Mali
  - in Morocco (all SARA)
  - numerous other workshops and seminars not in Africa supported or assisted
- i. Has the project provided follow-on technical assistance as planned in the project paper? Indicator as stated in the project paper = 10.

**Results:**

- to CRHCS/ECSA to develop internal data analysis capability (SARA)
  - technical support to above organization and ERNWACA in reproductive health and education
- j. Are collaborative relationships with African Institutions being developed to design, carry out and use research and analysis? Indicator as stated in the project paper = 2.

**Results:** Ongoing collaborative relations have been established with at least 7 African institutions/organizations (See SARA work, Section ---).

**3. Purpose Level Performance and Results**

- a. Have project clients (African public and private institutions, Missions, REDSOs, Africa Bureau staff and management and other donors) used project-generated research, analysis and information to improve resource allocation, strategies, policies and programs in health and human resources? Indicator as stated in the project paper: Use in 15 countries.

**Results:** After one year of implementation, there already have been examples of use of

project-generated research. These are as follows.

- information from the CCCD sustainability study in Nigeria was incorporated into the NCCCD project paper;
- the in-house immunization paper resulted in leveraging a \$7 million grant to UNICEF which should result in improved financial and vaccine planning in 7 African countries;
- the DHS/Nutrition analysis in Uganda resulted in improved skills of Ugandans in interpreting data. This resulted in the establishment of a nutrition policy in Uganda (no nutrition policy existed before this).

\* for additional information see attached "Publications List from HHRAA/SARA Projects"

## **B. Information Flow Performance and Results Based on Current Project Activity Data Sheets**

### **1. Findings, Conclusions and Recommendations Concerning Information Flows**

This section provides information to answer the question: how well is HHRAA performing with respect to information flows, especially to senior project and other managers? Are project managers getting the information they need on a regular basis to make empirically-based decisions about what needs to be done to improve the project and get results? The indicators used in this section are derived from the project's current activity Data Sheets, and reflect HHRAA managers' questions about the project's information flows. The HHRAA project's performance with respect to information flows, based on managers questions and indicators that reflect those questions, is as follows. This analysis of information flow results is based on an analysis of the 27 Activity Data Sheets currently used to provide information to senior project managers.

***Finding #1:*** HHRAA and SARA have taken important steps in the first year to strengthen the information flow between research contractors and HHRAA managers by developing Activity Data Sheets, which are prepared for each research activity funded by the project to provide information on the status of the research. The data presented below, however, show that HHRAA managers still are not receiving critical types of information -- most importantly, they are not receiving information which compares actual to planned research outputs on a regular basis. Without this type of information, HHRAA managers have no way of knowing whether research activities are on track or not, and thus no way of "measuring the results of their own work."

***Conclusion:*** Information flows from research contractors to HHRAA managers remains weak.

***Recommendation:*** HHRAA managers should agree to a revised format for the Activity Data Sheet (a suggested revised format is attached) and require contractors to provide the needed information 2-4 times per year, as necessary. HHRAA should inform contractors in writing of

this new requirement and emphasize the importance of preparing a comprehensive and well-thorough plan for measuring performance of the research activity (i.e., information that allows managers to compare actual versus planned outputs). The revised format of the Activity Data Sheet includes a way for managers to measure performance in this way. SARA managers should also prepare Activity Data Sheets for all research and dissemination activities.

**2. Information Flow Performance and Results -- Managers' Questions, Indicators and Data on Performance and Results.**

- a. Are the current Activity Data Sheets providing needed information about the status of research activities? Indicator: number and percent of activity data sheets filled out completely.

*Result:* 11 of 27 or 40% filled out completely

- b. Have the performance measurement plans of the Activity Data Sheets been filled out as called for, to include benchmarks of the activity and benchmark completion dates? Indicator: number and percent of Activity Data Sheets that include a complete performance monitoring plan as called for.

*Result:* 10 of 27 or 37%

- c. Do the Activity Data Sheets provide any type of information on the status of the activity (that is, is the status section of the sheet filled out with any type of information?) Indicator: number and percent of Activity Data Sheets that provide any type of information on project status. (Note: two projects have not yet begun.)

*Result:* 15 of 25 or 60%

- d. Do the Activity Data Sheets report on the status of the activity against the benchmarks in the performance measurement plan? Indicator: number and percent of Activity Data Sheets that report on the status of the activity against the benchmarks established in the performance monitoring plan.

*Result:* 6 of 25 or 24%

- e. Do the Activity Data Sheets provide information that explains the reasons for implementation difficulties or why activities have not progressed as planned and specified in the performance measurement plan? (Note: only activities that are not on track would report this information.) (Note: because it is not possible to identify all research activities that are not on track [since not all Activity Data Sheets are filled out completely] the following information does not really adequately address the question. It simply indicates how many Activity Data Sheets provide an explanation of the status of implementation.)

*Result:* 7 of 25 or 28%

**C. Key Project Outcomes (Dissemination and African Participation) -- Performance and Results**

**1. Findings, Conclusions and Recommendations Concerning Dissemination and African Participation**

This section provides information on two key project outcomes -- dissemination and African participation. The findings are based on a review of project documents and the activity data sheets. The data to support the findings are presented below in section 2, as well as elsewhere in this report, as indicated.

***Finding #1:*** The dissemination process established under SARA has made substantial progress during year one and in many ways is highly innovative (see p.--). The dissemination process established under the other contractors is, for the most part, limited to "mailings," "report distribution," and, in a few instances, "workshops." Lack of more detailed or innovative dissemination plans may be attributable to the fact that much of the research is in its early stages.

***Conclusion:*** The findings of much important research will be neglected in the absence of concrete and well-thought-out strategies to increase dissemination of the research in ways that go beyond mailing and report distribution.

***Recommendation:*** As the project begins its second year, the focus on dissemination should intensify. In addition to the recommendation regarding the need for sub-sector dissemination strategies (p.--), HHRAA staff should appoint a project dissemination team which would; (a) take the lead on dissemination strategy development and "improvement activities"; (b) work, throughout the LOP, to improve continuously the dissemination process for non-SARA contractors; and (c) strive to coordinate sub-sector dissemination efforts between the two (i.e., SARA and non-SARA contractors). The status of the dissemination strategies, and improvement processes, should be a regular topic at HHRAA and SARA staff meetings. Field RTAs should be critical actors in the dissemination strategies and specific dissemination tasks and "improvement activities" should be included in their workplans. Ways to improve documentation of dissemination activities have already been included in the revised Activity Data Sheet format. Managers should review these revisions to determine if additional information is called for.

***Finding #2:*** The project -- especially SARA (see p. --) and the infectious and tropical disease and population and family planning sub-sectors (see below) -- has made very good progress during the first year in initiating collaborative research and other activities with African institutions and African researchers. A review of project documents revealed that, even after one year of implementation, a very wide variety of African institutions are already involved in numerous project activities. More detailed information on other aspects of African participation appears to be lacking.

**Conclusion:** The lack of detailed information concerning African participation appears to be more of a documentation difficulty than an implementation issue. Many research activities are just getting underway and, understandably, may not be able to identify all aspects of African participation precisely during the initial stages of research.

**Recommendation:** The project should document, in the Activity Data Sheets, aspects of African participation that go beyond identification of the African research institutions involved. Suggested ways that this might be done, based on the categories of information on African participation included below, have already been included in the revised Activity Data Sheet format. Managers should review these revisions to determine if additional information is called for.

**2. Dissemination and African Participation Performance and Results -- Managers' Questions, Indicators and Data**

- a. Is the project documenting the dissemination modes for each research activity? Indicator: number and percent of Activity Data Sheets reporting any type of dissemination activity. (Note: most frequently the type of dissemination activity reported was "report distribution" or "mailings.")

**Result:** 24 of 27 or 88%

- b. Is each research activity providing information on the dollar amount and the percent of the budget allocated to dissemination? Indicator: number and percent of activity data sheets reporting on the dollar amount and the percent of the budget allocated to dissemination.

**Result:** Information Gap. This information is not currently requested on the current activity data sheet.

- c. Are research activities reporting innovative, unusual, detailed or dissemination approaches involving something other than "report distribution" "mailings" or workshops"? Indicator: number and percentage of activity data sheets providing information on innovative, detailed or dissemination approaches other than mailings, report distribution or workshops.

**Result:** 2 out of 27 or .07%

- d. Do any of the dissemination activities include follow-on technical assistance? Indicator: number and percentage of research activities that will include follow-on technical assistance as specified in the Activity Data Sheets.

**Result:** 2 out of 27 or .07%

- e. Are the contracting organizations reporting on the number of reports that they intend to distribute? Indicator: Number and percentage of contractors reporting on the number of copies to be distributed.

**Result:** 1 out of 27 or .03%

- f. Is the project documenting the degree of African participation in HHRAA-funded research? Indicator: number and percent of activity data sheets specifying African participation by participating African institution.

**Result:** 10 of 27 or 37%. Seven of the ten are in the infectious and tropical disease sub-sector and two are in population and family planning.

- g. Is the project documenting the number or percent of African researchers as a percent of the total number of researchers? Indicator: number and percent of activity data sheets specifying African researchers as a percent of total researchers.

**Result:** 3 of 27 or 11%

- h. Is the project documenting the research products co-authored by African researchers? Indicator: number and percent of activity data sheets specifying research products co-authored by African researchers.

- i. **Result:** 1 of 27 or .03%

- j. Is the project documenting the absolute number of African researchers or workshop participants involved in each research activity? Indicator: number and percent of activity data sheets specifying the absolute number of African researchers or workshop participants but not as a percent of the total research team or number of conference participants.

**Result:** 2 of 27 or .07%

#### **D. Financial Performance and Results Based on the Activity Data Sheets**

##### **1. Findings, Conclusions and Recommendations.**

This section assess the flow of financial information to HHRAA managers. It is not possible, based on the data available in the Activity Data Sheets and the short time-frame for preparation of this report, to prepare a complete analysis of the financial performance of the project. The latter should, at present, be considered an "information gap." However, with certain modifications of the Activity Data Sheet's financial data section, information on the project's financial performance should be available in a comprehensive fashion for the next results report. Managers' questions concerning the project's financial performance, and indicators that reflect those questions, are set forth in section 2 below.

**Finding #1** The Activity Data Sheets do not provide adequate or up-to-date information on financial performance. Important types of information are lacking -- information on obligations and expenditures by quarter and cumulatively, on OYB transfers and pipeline data.

**Conclusion:** The information flow on financial performance needs strengthening.

**Recommendation:** HHRAA managers should review the financial section of the revised Activity Data Sheets and reach agreement on the categories of information it should contain. They should inform contractors in writing of their responsibility to provide accurate and up-to-date financial information on a quarterly basis.

## 2. Financial Performance - Managers Questions, Indicators and Data

- a. Are senior managers receiving comprehensive information on obligations and expenditures in a timely fashion? Indicator: number and percent of Activity Data Sheets reporting obligations and expenditures as of a certain date.

**Result:** 15 of 25 (two activities have not yet begun) Activity Data Sheets reported obligations and expenditures as of a certain date or 60%.

- b. Is there a mechanism in place for tracking obligations and expenditure of regional funds transferred to R&D? (now the G Bureau?) (Note this question was stated as an assumption in the assumptions column of the project paper logical framework.) Indicator: number and percent of activities using the OYB transfer mechanism for funding that have reported obligations and expenditures as of a certain date. (Note: a total of nine activities reported using the OYB transfer mechanism.)

**Result:** 3 of 9 Activity Data Sheets reported obligations and expenditure information for OYB transfers or 33%.

- c. For each individual activity, for each sub-sector (child survival etc.) and for each type of funding mechanism (PIO/Ts, OYB transfers etc.), what is the percent of the total obligation expended, by quarter and cumulatively? Indicators: percent of total obligation expended by quarter and cumulatively, for each individual activity, sub-sector and funding mechanism. (Note: in future reports these indicators would all be listed separately-- by sub-sector, eg., education. Managers will need to decide whether they want the information disaggregated for each individual activity every quarter or simply aggregated into the categories suggested above or in some other fashion.)

**Result:** Information Gap. It is not possible to provide this information at the present time.

## E. Management Performance and Results

### 1. Findings, Conclusions and Recommendations

This section provides information on management performance and results. It includes data on two types of indicators:

- "management performance indicators" - these are measures of management performance that will not change from year to year and will be used in subsequent results reports; and
- "annual management benchmark indicators" these are measures of management performance whose accomplishment will be a one-time activity within the project (e.g., " number of

completed and approved analytic agendas for all subsectors by target date" or "number of strategic frameworks vetted by missions by target date.") . As the tasks reflected by these indicators are completed, these indicators will be dropped from the results report and new ones will be added which reflect the current annual project workplan.

Accordingly, this section is divided into two sub-sections: management performance indicators and annual management benchmark indicators. Managers' questions about management performance, data and results are set forth in section 2, below. Managers' questions concerning annual management benchmarks, data, and results are presented in section 3, below. The reader should note that this section does not reflect all possible management indicators and benchmarks. Rather, it attempts to reflect those that were repeatedly identified by managers as those items that they wanted information on, especially during 1994.

Finding (??).

## 2. Managers' Questions, Data and Results - Management Performance

- a. Is the project on track and producing outputs as planned within the originally specified time-frame? Indicator: number and percent of priority outputs planned for each year, by sub-sector, completed/not completed by due date (i.e., within the time-frame specified in the activity performance measurement plan) compared to the total number of outputs planned for that year.

**Result:** Information Gap. Since many activities do not yet have performance measurement plans included in the Activity Data Sheets, it is not possible to provide this information in a comprehensive way for the project as a whole.

- b. Do senior managers know which activities are not on track and why? Do they know what steps the activity managers are taking to get the activity back on track? Indicator: number and percent of activities, by sub-sector, which use the Activity Data Sheets to explain why the activity has not produced planned outputs and the steps that managers will take for corrective action.

**Result:** Information Gap. Although some Activity Data Sheets do address this question, there is no section on the data activity sheet that specifically calls for this type of information.

- c. Are senior managers providing feedback to staff in a timely fashion? Indicator: for a sample of work products (say, 15 major work products), number and percent for which feedback was provided by established deadline.

**Result:** Information Gap. While this information is not now available, it could be gathered easily if all work products specified the dates that actions were initiated and

completed.

### **3. Managers' Questions Concerning Annual Management Benchmark Indicators, Data and Results**

Since project workplans specifying priority project outputs by quarter were not in place during 1993, it is not possible to analyze, in a comprehensive way, performance and results related to management benchmarks. As stated above, the "annual management benchmark indicators" which will be used to assess performance and results in FY 1994 are specified below and can be used to guide needed management actions during the fiscal year.

#### **Key Management Benchmarks**

- a. Have written guidelines that clarify key roles and responsibilities within the project been negotiated and circulated by the deadline established for this process? Indicator: number of written statements clarifying the roles and responsibilities of contractors, subcontractors, direct hires, RTAs and field-based RTAs negotiated and circulated by deadline.

*Results:* No Information. To Be Undertaken During 1994.

- b. Have annual workplans for each officer with priority activities specified by quarter to include due dates and requirement for one write-up annually of use of project research (based on anecdotal or evaluative information) been completed and approved? Indicator: number of annual project officer workplans competed and approved compared to total number of project officers.

*Results:* No information. To be Undertaken During 1994.

#### **Analytic Agenda Benchmarks**

- a. Has the project completed and vetted in the field the target number of strategic frameworks by the due date? Indicator: number of strategic frameworks completed and vetted in the field by due date compared to the total number of strategic frameworks drafted.

*Results:* No Information. To be Completed in 1994.

- b. Have sub-sector working groups and consultative groups been formed? Indicator: number of subsector consultative and working groups formed compared to total number of subsectors within the project.

*Results:* No Information. To Be completed in 1994.

- c. Have subsector consultative groups completed the review process? Indicator: number of

consultative groups which have completed the review process by the deadline compared to the total number of consultative groups formed.

**Results:** No Information. To Be Completed in 1994.

### **Evaluation Benchmarks**

- a. Have evaluation plans for each subsector dissemination plan been completed? Indicator: number of evaluation plans completed by deadline compared to total number of subsector dissemination plans prepared.

**Results.** No Information. To Be Undertaken in 1994.

- b. Have the rapid low-cost evaluations (e.g., follow-up questionnaires, case studies) specified in the dissemination plans for each quarter been undertaken as planned? Indicator: number of rapid, low-cost evaluations undertaken each quarter as compared to the total number planned for that quarter.

**Results:** No Information. To be Undertaken in 1994.

- c. Have the "annual management benchmark" indicators to be used to measure performance in FY 1995 been identified and approved by HHRAA managers? Indicator: "annual management benchmark indicators" to be used to assess performance in FY 1995 completed and approved by fourth quarter FY 1994.

**Results.** No information. To be Undertaken in Fourth Quarter FY 1994.

### **Dissemination Benchmarks**

- a. Have dissemination strategies, including evaluation plans, been prepared for each sub-sector which reflect sub-sector workplans and which specify key dissemination activities and evaluation approaches, as appropriate, by quarter? Indicator: Number of subsector dissemination/evaluation strategies completed by deadline compared to total number of project subsectors.

**Results:** No Information. To be undertaken During 1994.

- b. Has the strategic framework on dissemination been completed by deadline? Indicator: Completion and circulation of strategic framework by established deadline.

**Results:** Strategic Framework on dissemination in draft and to be completed in 1994.

- c. Have sub-sector dissemination activities taken place as planned in each subsector dissemination strategy, by quarter? Indicator: Number of dissemination activities, by

subsector, having taken place as planned compared to the total number of dissemination activities planned in that sub-sector for that quarter.

**Results:** No Information. To Be Undertaken in FY 1994.

- d. Has the first project quarterly newsletter (e.g., a "technical bulletin) on research findings been prepared and circulated in Washington and the field by the established deadline? Indicator: first, and subsequent, quarterly technical bulletins on key research findings completed and circulated by quarterly deadlines.

**Results:** No Information. To Be Undertaken in FY 1994.

### **Regional Technical Advisor (RTA) Benchmarks**

- a. Have annual workplans and statements of roles and responsibilities been completed and approved for all Washington and field-based RTAs? Indicator: Annual workplans and statement of roles and responsibilities for Washington and field-based RTAs completed and approved by established deadline. (Annual workplans for RTAs should also specify activities by quarter and include the requirement of at least one annual write-up of use of project research, based either on anecdotal or evaluative information.) (For field-based RTAs, workplans should include a critical role in dissemination activities.)

**Results:** No Information. To be Completed in FY 1994.

- b. Have procedures been established and approved for communication and regular reporting and feedback between Washington and field-based RTAs? Indicator: establishment of procedures for reporting and feedback between Washington and field-based RTAs and evidence of use of the procedures.

**Results:** No Information. To be undertaken in FY 1994.

## **F. SARA Performance and Results**

### **1. Findings, Conclusions and Recommendations**

This section presents information on the performance and results achieved by the SARA project during 1993. The six performance standards used below were set forth in the SARA contract (Contract AOT-0483-C- 00-2178-00), on p.29. The emphasis here is on completed products or results, rather than work that has been recently initiated, although some work will always be considered "ongoing" (e.g., certain dissemination strategies).

**Findings #1:** SARA has met or substantially exceeded all six performance standards specified in the contract. The information on performance, below, does not include the numerous

products SARA completed during FY 1993 that were not originally called for in the contract performance standards.

**Conclusion:** Despite the considerable outputs by SARA during 1993, unless SARA products and tasks are clearly specified by quarter, in an annual workplan, HHRAA and SARA managers will not be able to track performance and compare planned versus actual SARA outputs.

**Recommendation:** SARA should prepare an annual workplan which clearly specifies planned outputs by quarter. By specifying work priorities by quarter in this way, this workplan should assist HHRAA and ARTS managers in determining if, and whether, SARA should be given additional tasks not included in the original workplan during the course of the year. They will be able to identify SARA priorities and more easily gain a sense of which work tasks will be delayed if unanticipated ones are added to SARA's work agenda. SARA should also prepare Activity Data Sheets on a quarterly basis for each major research and dissemination activity.

## 2. Data on SARA Performance and Results

The six performance standards below were taken directly from the SARA contract:

- a. **An R&A agenda-setting process developed and tested that effectively captures field inputs including Africans, Missions and other donors.**

SARA has defined the issues identification process leading to the ARTS/HHRAA analytic agenda and has set up mechanisms (working groups, monitoring and evaluation forms, criteria for proposal review) to improve the management of activities that are already being carried out under the agenda.

To capture field inputs concerning critical issues and information gaps for the analytic agenda in each subsector, SARA staff:

- requested 40 participants at an education conference to complete a questionnaire on education issues;
- requested participants at the VII Conference on AIDS complete a questionnaire on tropical and infectious diseases;
- interviewed representatives of FAO, UNICEF, WHO and the World Food Program on nutrition issues;
- administered a questionnaire on child survival issues at the CCCD meeting in Dakar;
- administered 25 questionnaires on family planning to 25 African population researchers and health ministry representatives.

To carry out the agenda-setting process, SARA has organized literature reviews, as well as consultative meetings and exercises both in the U.S. and Africa. The immediate result will be the production of 13 papers entitled "Strategic Frameworks for Research and Analysis" on the central topics of the HHRAA project. The papers identify critical issues for each topic, as well

as information needs and related research currently underway. The purpose is to ensure that research funded under HHRAA contributes to the achievement of the strategic objectives and addresses critical information needs. These drafts will be available for review by January 1994 at the very latest.

The principal products of this process include:

- an objective tree for each sub-sector
- a flow chart that explains the entire process
- a written summary of the process, based on actual experience in HHRAA sectors
- the 13 strategic frameworks.

**b. African and A.I.D. HHR policy, strategies and programs developed or modified based on utilization of project-funded R&A at the country, Mission and Agency level**

- SARA, drawing on the lessons learned in implementation of child survival projects, contributed to the development of a new Child Survival Strategy for Africa.
- In 1993, SARA also organized or contributed to the development of numerous conferences and meetings which may lead to the modification of policies and programs at the country, Mission or Agency level. These are listed in Section --, Results at the Output Level.

**c. High quality, state-of-the-art research funded by the project which addresses priority African and A.I.D. HHR issues**

- In concert with the African Population Action Committee (APAC), SARA produced three documents for the Global Coalition for Africa's annual meeting:

"African Population Programs: A Status Report"

"The Impact of HIV/AIDS on Population Growth in Africa"

"Reliability of Population Estimates and Sources of Demographic Data for Africa"

- SARA produced a synthesis of lessons about AIDS prevention for Africa from the AIDSCOM project.

**d. Collaborative African institutional arrangements developed for designing and implementing R&A activities**

SARA has established collaborative relations with several institutions. Emphasis has been on exploring institutions with a regional or sub-regional mandate. Institutions include:

- Reproductive Health Research Network, run by CRHCS/ECSA, which undertakes research on abortion-related mortality and morbidity

- Nutrition Network (CRHCS/ECSA) which will undertake dissemination activities in the areas of health and nutrition
- CERPOD which will undertake research on adolescents and family planning/STDs
- Makerere university which will undertake a workshop for analysis of DHS nutrition data
- Zimbabwe National Family Planning Council which will organize a regional conference on medical barriers
- African Population Advisory Committee through which three publications on population policy and related issues were produced and disseminated
- Network for Public Health Training Institutions through which a proposal is being developed on the assessment of human resource needs in Africa
- ERNWACA to which SARA is providing technical assistance to support the structuring and launching of the network.

**e. Innovative dissemination strategies designed, tested and proven effective**

To date, SARA has designed several innovative dissemination strategies.

- SARA will complete a draft report in January 1994 on its inventory of current electronic information activities in Africa. This report identifies a large number of organizations, service delivery activities, research institutions, businesses and PVOs that are attempting to use electronic technologies in Africa. This survey will allow SARA to determine which ones can be used for information dissemination activities in the future.
- SARA has prepared a paper which summarizes key experiences and lessons learned from the AIDSCOM project to capture important experiences in health education and communications interventions of this five year AIDS prevention project. Each lesson is discussed in 3-4 pages and collected in a folder. This work is innovative because key lessons from one project are not usually documented. This approach may become a model for capturing lessons from other centrally funded projects.
- SARA is exploring the potential to use USIA's Voice of America and WorldNet to reach African decision-makers with specially designed programs and by January 1994 SARA will submit a concept paper on a series of health and human resource panels to be presented through these teleconferencing channels. This will permit a series of panel discussions on health and human resource issues related to Africa with African decision-makers. This dissemination approach would work in the following way. USIA and WorldNet would notify all their offices that HHRAA/SARA will be offering a series of panels on health and human resource topics. The U.S. Embassy in all receiving countries would then invite key decision-makers and

specialists to the USIA auditorium to participate in the panel discussions. In each USIA auditorium, there would be one-way video and two-way audio reception. In this way those invited will see the U.S. panel and they can ask questions of the panel and discuss the issues presented. SARA is considering beginning with population issues by using the three APAC papers that have already been prepared.

- Based on the PROFILES computer-modeling program, SARA designed a computer-based presentation using new DHS nutrition data relating to East, Central and Southern Africa countries. SARA presented the program to East, Central and Southern Africa Ministers of Health to show them alternative outcomes in the area of nutrition based upon their decisions and government inputs.

### III. Action Agenda Matrix to Manage for Results

Included below is a sample matrix which may assist HHRAA managers measure the results of their own work, during subsequent quarters and for the year. The information for this matrix is taken from the discussion of results with respect to financial flows, above. The improvement processes are the actions managers and teams would take to get results in subsequent quarters. The results might be documented in the next quarterly results report.

The purpose of the matrix is to help managers quickly grasp "where they are right now" and recognize the areas where improvement activities are called for to get results in the near future. HHRAA managers may want to consider using such a matrix for each major management area (e.g., finance, evaluation, dissemination, management actions) to document improvements over the life of the project. The completion of such matrices (possibly on a quarterly basis) would assist the project Information Specialist in completing the next annual results report. HHRAA managers would need to appoint a team or a project officer to be responsible for completing the matrix each quarter and keeping it up to date.

Question	Data	Findings	Improvement Activities/ Results
Are managers receiving financial flow information in a timely manner?	Only 60% reporting obligations and expenditures as of a certain date (and this date may not be current)	Managers are not receiving financial flow information in a timely and useful manner	
Is there a mechanism in place to track OYB transfers?	Only 3 of 9 OYB transfers or 33% report obligations and expenditures	The current mechanism to track OYB transfers is not being used	
For each project sub-sector, what is the percent of total obligation expended by quarter and cumulatively?	No information	No information	

## **Appendix A**

### **Other ways to document African participation through use of the activity data sheets**

The analysis of the documentation of "African participation" in the data activity sheets suggested ways to improve documentation of this topic in the future. These revisions have already been included in the suggested revised format for the activity data sheets. Our analysis of the documentation of "African participation" has showed that most reporting on this topic involves reporting on the African institutions that are participating in the research. However, a few data sheets provided more detailed information as follows.

## Annex B

### Other ways to document dissemination using the data activity sheets

The analysis of the documentation of "dissemination" in the data activity sheets suggested ways to improve documentation of this topic in the future. These revisions have already been included in the suggested revised format for the activity data sheets.

Outputs	OVI per year	Results to Date	Finding	Improvement Process	Results
Syntheses	5	<ul style="list-style-type: none"> <li>• 9 child survival lessons learned papers</li> <li>• 1 AIDS prevention lessons learned paper (SARA)</li> <li>• 3 APAC population docs prepared (SARA)</li> <li>• Sustainability of CCCD country projects</li> <li>• Child Survival strategy for Africa</li> <li>• 1 comparative review of the economic impact of selected infectious diseases in Africa</li> </ul>			
Syntheses/field verification with African participation in design and implementation	4				
Multi country research African participation in design and implementation	2				
Technical reports disseminated	10	<ul style="list-style-type: none"> <li>• 100 HIV/AIDS Impact booklets</li> <li>• 200 Population Status Report</li> <li>• 500 copies of AIDS prevention lessons learned (all SARA work)</li> </ul>			
Technical bulletins disseminated	5				
Other Dissemination Tools/Media used	4	<ul style="list-style-type: none"> <li>• 2 press releases (SARA)</li> <li>• exploring potential to use USIA's Voice of America and Worldnet to reach African decision-makers</li> </ul>			
Workshops held in Africa	2	<ul style="list-style-type: none"> <li>• in Niger</li> <li>• in Kenya</li> <li>• in Mali</li> <li>• in Morocco (all SARA)</li> </ul>			
Follow-on Technical Assistance provided	10	<ul style="list-style-type: none"> <li>• to CRHCS/ECSA to develop internal data analysis capability (SARA)</li> </ul>			
Collaborative relationships with African institutions developed to design, carry out and use research and analysis	2	Ongoing collaborative relations established with at least 7 African institutions/organizations			

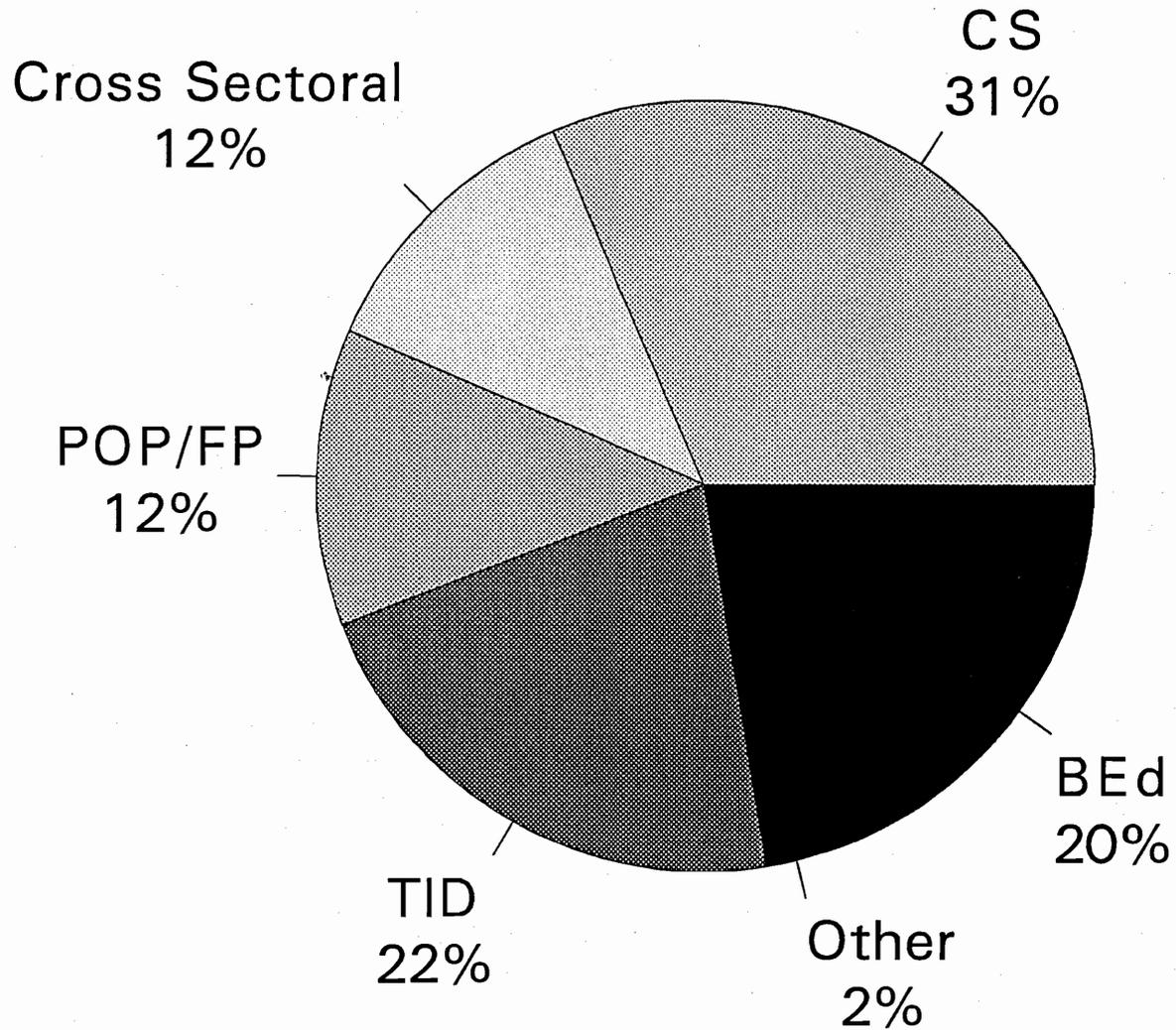
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# HHRAA Funding

## FY 92 - FY 94

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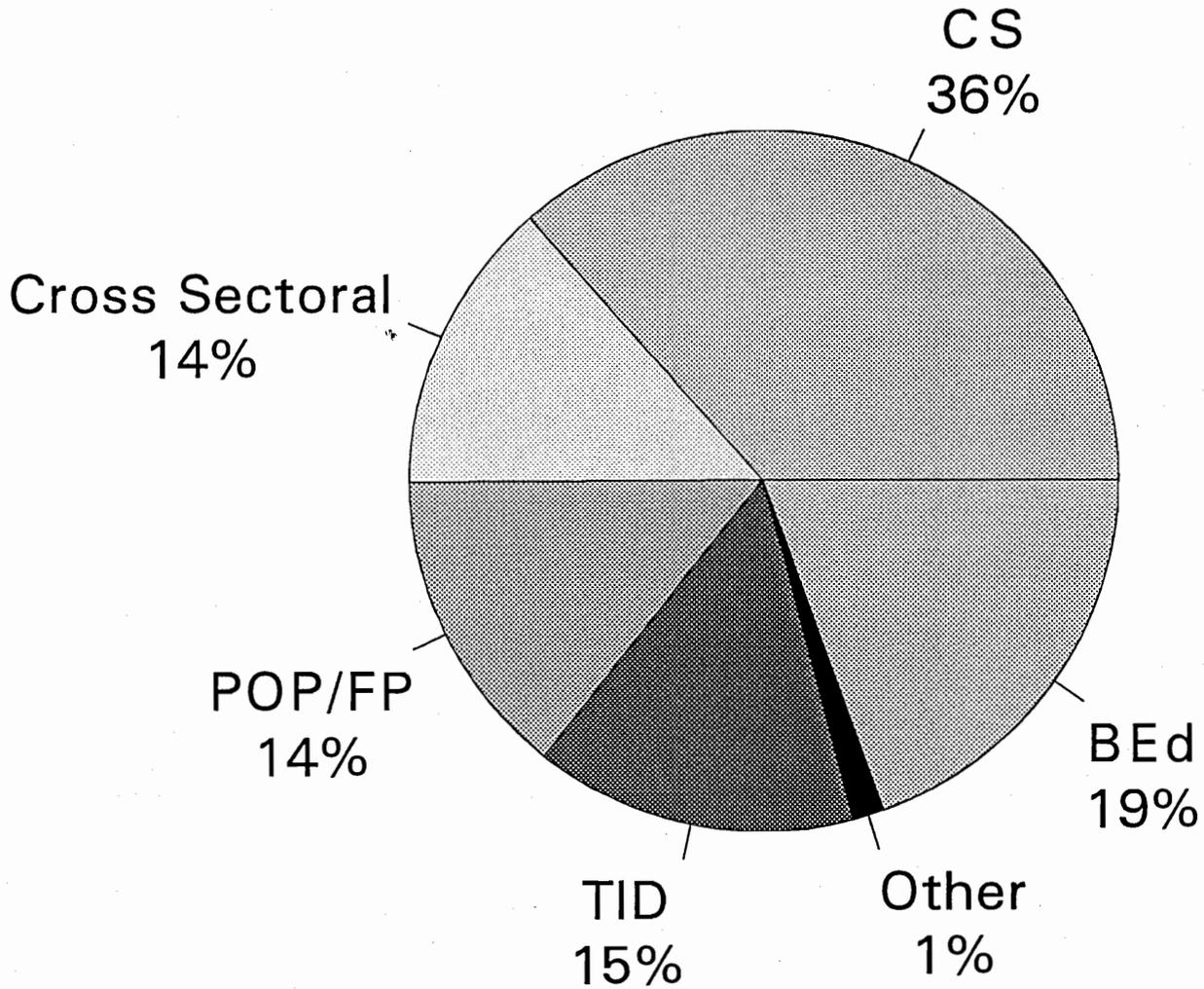


# HHRAA Project

## Funding Allocation

### FY 94

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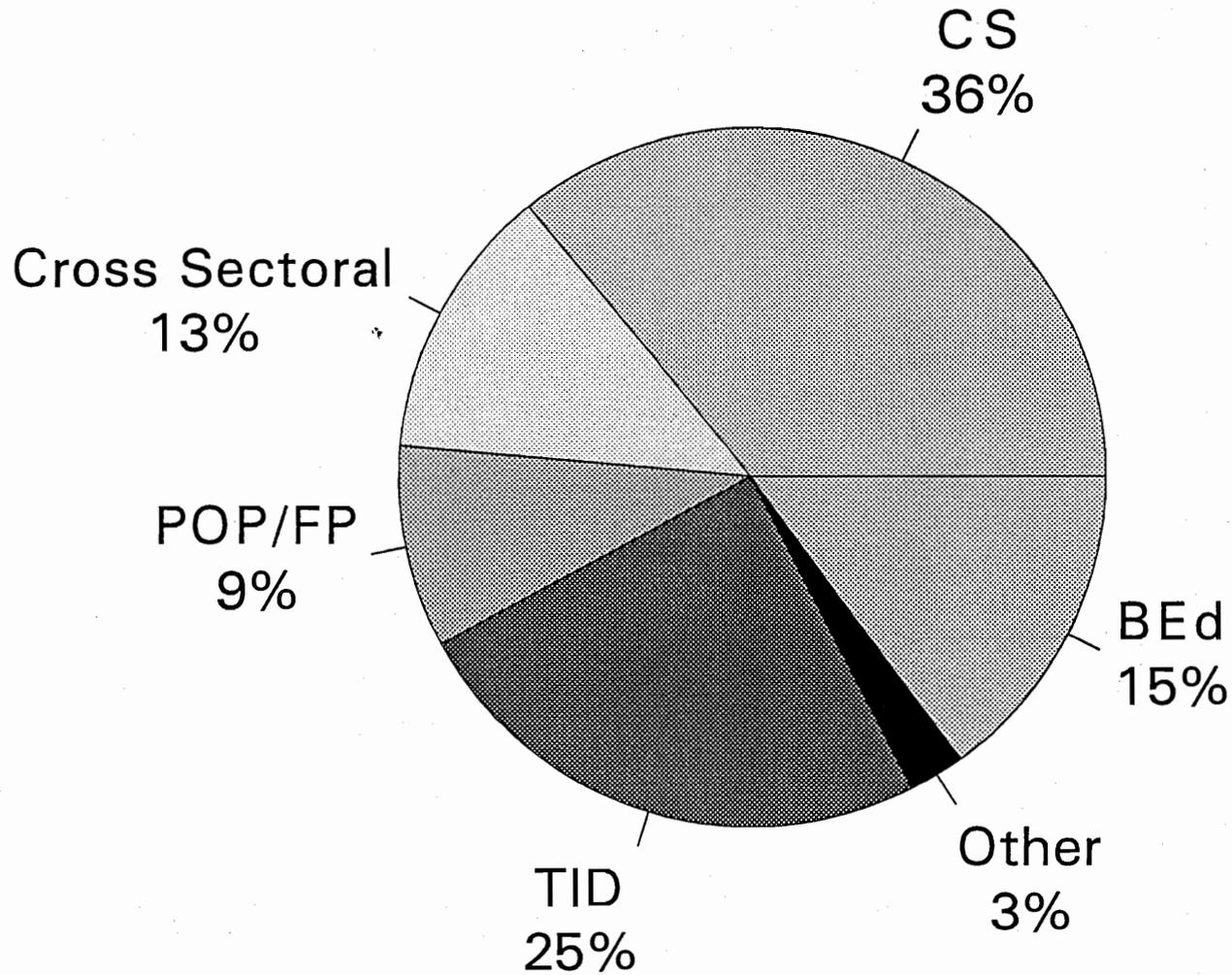


# HHRAA Project

## Funding Allocation

### FY 93

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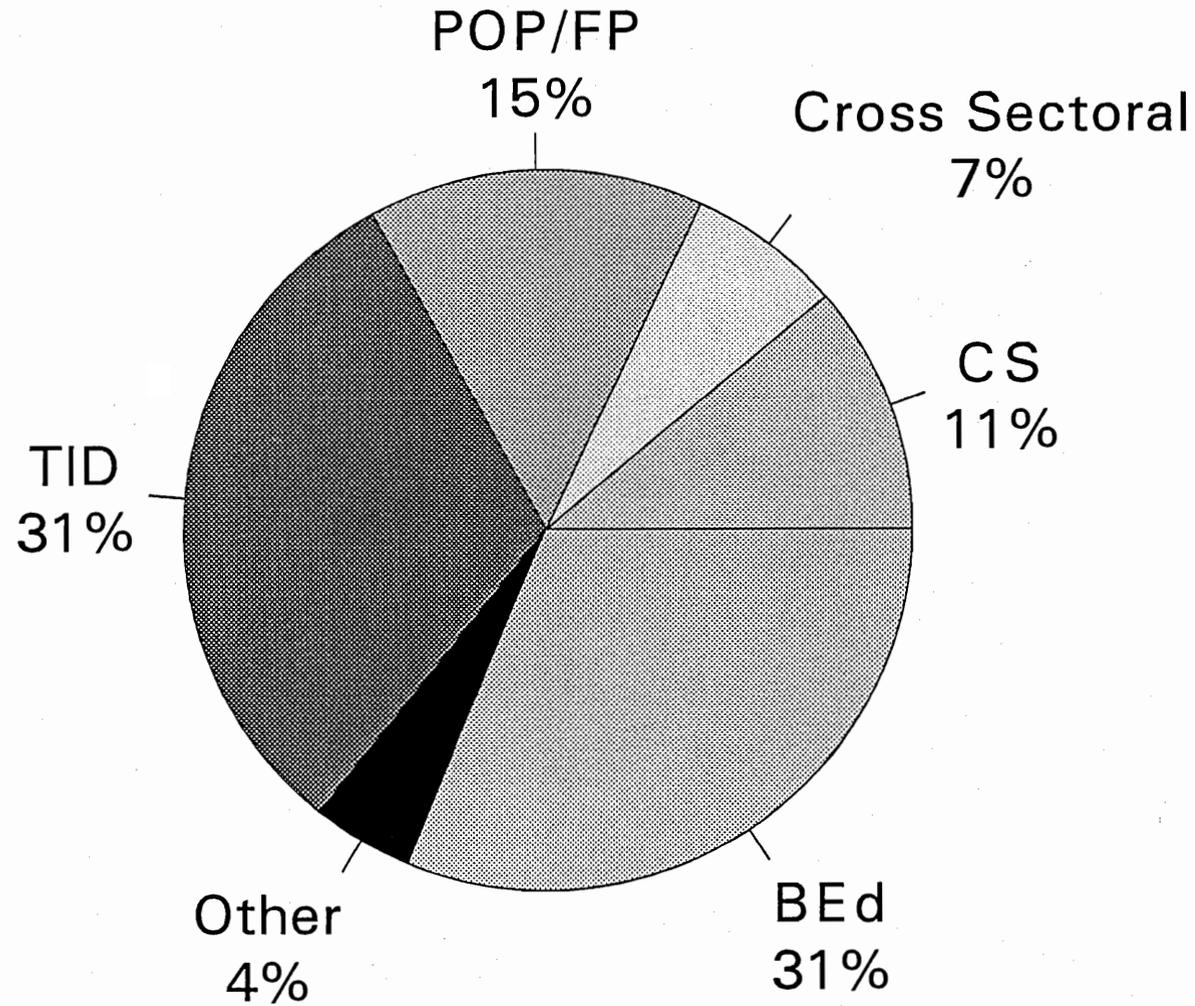


# HHRAA Project

## Funding Allocation

### FY 92

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FY 1994

	Core		OYB Transfers		Buy-Ins		Total
Child Survival	700,000	AED	500,000	WHO/TDR	375,000	REDSO/E	
	140,489	TAACS	250,000	BASICS			
	155,819	JHU	80,000	CIHI			
	730,000	WHO/AFRO					
	185,706	Macro/DHS					
	992,500	OIH					
	250,000	World Bank					
	416,941	Res.Mobil					
<b>Subtotal</b>	<b>3,571,455</b>		<b>830,000</b>		<b>375,000</b>		<b>4,776,455</b>
Basic Education	712,500	AED	100,000	AAAS			
	633,471	DOL					
	695,675	IEQ					
	400,000	DAE					
<b>Subtotal</b>	<b>2,441,646</b>		<b>100,000</b>		<b>0</b>		<b>2,541,646</b>
Tropical/ Infectious Diseases	992,500	OIH	218,500	AIDSCAP	375,000	REDSO/E	
	73,040	Harvard					
	270,452	BUCEN					
<b>Subtotal</b>	<b>1,335,992</b>		<b>218,500</b>		<b>375,000</b>		<b>1,929,492</b>
Population	830,000	AED	227,000	UNC			
			215,000	Michigan			
			300,000	PSI			
			300,000	JSI			
<b>Subtotal</b>	<b>830,000</b>		<b>1,042,000</b>		<b>0</b>		<b>1,872,000</b>
Cross Sectoral	257,500	AED			375,000	REDSO/E	
	277,961	Res. Mobil			300,000	REDSO/W	
	453,110	WHO					
	120,836	TVT					
<b>Subtotal</b>	<b>1,109,407</b>		<b>0</b>		<b>675,000</b>		<b>1,784,407</b>
Other	193,831	AMEX	0		0		193,831
<b>Total</b>	<b>9,482,331</b>		<b>2,190,500</b>		<b>1,425,000</b>		<b>13,097,831</b>
<b>Grand Total</b>	<b>22,347,584</b>		<b>5,491,365</b>		<b>3,356,807</b>		<b>31,195,756</b>

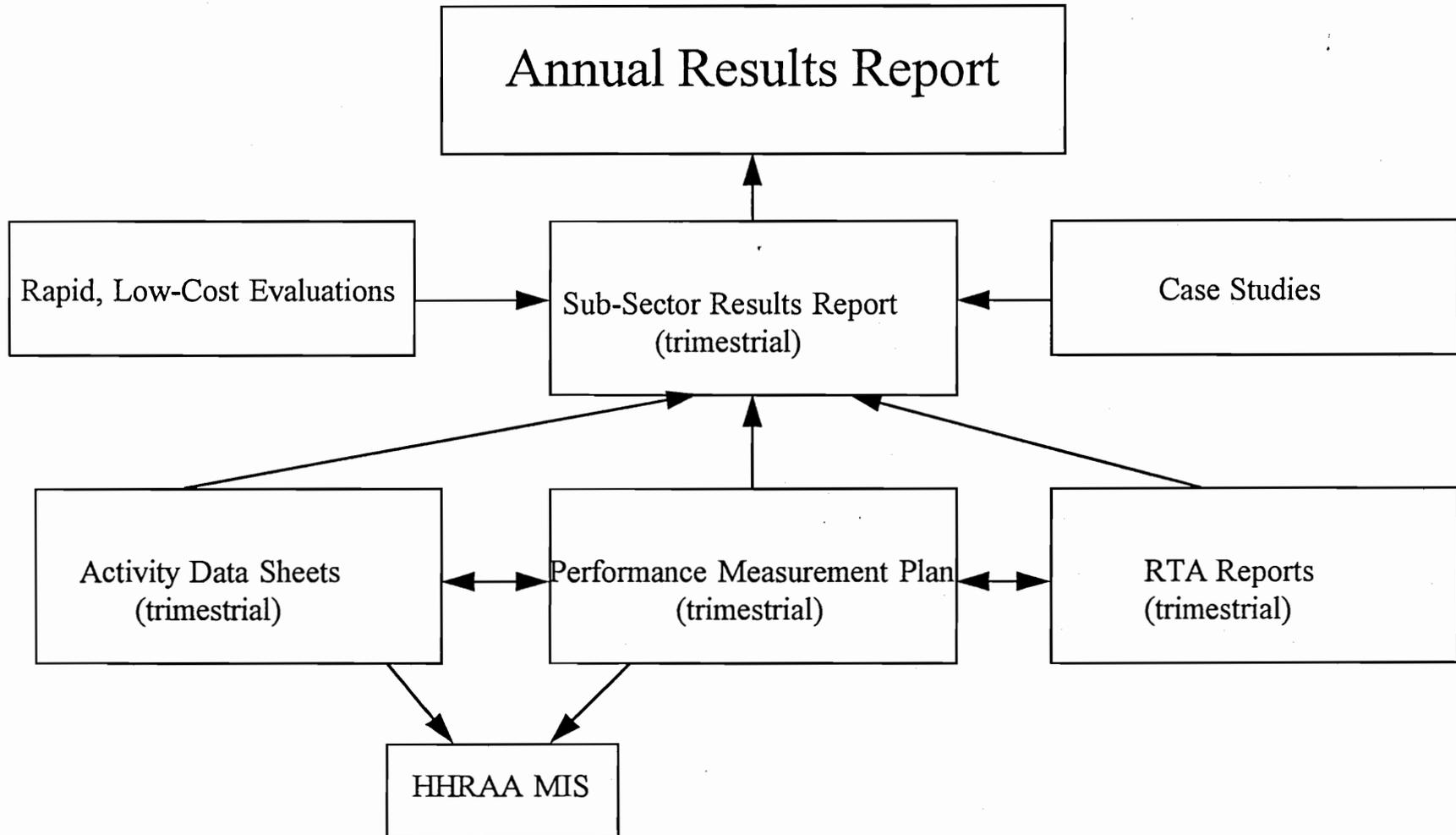
FY 1993

	Core	OYB Transfers	Buy-Ins	Total			
Child Survival	114,100	TAACS	500,000	Abt Associate	200,000	REDSO/W	
	1,111,680	AED	350,000	Harvard	300,000	REDSO/E	
	171,000	JHU	240,000	Wellstart			
	112,620	AED					
	896,720	OIH					
	300,000	WHO/EPI					
	91,930	JSI/CLM					
<b>Subtotal</b>	<b>2,798,050</b>		<b>1,090,000</b>		<b>500,000</b>		<b>4,388,050</b>
Basic Education	300,000	DAE	200,000	Greencom	150,000	REDSO/W	
	306,880	AED			76,937	REDSO/E	
	383,196	IEQ					
	249,952	DOL					
	158,020	AED					
<b>Subtotal</b>	<b>1,398,048</b>		<b>200,000</b>		<b>226,937</b>		<b>1,824,985</b>
Tropical/ Infectious Diseases	350,000	World Bank	75,000	ATSP			
	490,720	AED	400,000	NAS			
	270,000	BUCEN	500,000	WHO/TDR			
	662,595	OIH					
	260,000	WHO/Malaria					
<b>Subtotal</b>	<b>2,033,315</b>		<b>975,000</b>		<b>0</b>		<b>3,008,315</b>
Population	490,720	AED	150,000				
	55,506	OIH	200,000				
			250,000				
<b>Subtotal</b>	<b>546,226</b>		<b>600,000</b>		<b>0</b>		<b>1,146,226</b>
Cross Sectoral	297,445	IFPRI			904,870	REDSO/W	
	48,639	AIRD			300,000	REDSO/E	
<b>Subtotal</b>	<b>346,084</b>		<b>0</b>		<b>1,204,870</b>		<b>1,550,954</b>
Other	308,440	AMEX	0		0		308,440
<b>Total</b>	<b>7,430,163</b>		<b>2,865,000</b>		<b>1,931,807</b>		<b>12,226,970</b>

FY 1992

	Core		OYB Transfers		Buy-Ins	Total
Child Survival	336,000	AED	27,865	HRS II		
	293,414	OIH				
<b>Subtotal</b>	<b>629,414</b>		<b>27,865</b>		<b>0</b>	<b>657,279</b>
Basic Education	342,000	AED				
	698,127	IEQ				
	200,000	DAE				
	52,000	EDI				
	100,000	AAAS				
	119,847	IQC				
	236,467	DOL				
	89,191	IQC				
<b>Subtotal</b>	<b>1,837,632</b>		<b>0</b>		<b>0</b>	<b>1,837,632</b>
Tropical/ Infectious Diseases	74,730	VBC/Malaria	50,000	AIDSCAP		
	300,000	World Bank	25,000	AIDS Conference		
	271,000	BUCEN				
	1,114,956	OIH				
<b>Subtotal</b>	<b>1,760,686</b>		<b>75,000</b>		<b>0</b>	<b>1,835,686</b>
Population	398,400	AED	275,000	IPPF/RTA		
	147,908	OIH	58,000	SISD/CBD		
<b>Subtotal</b>	<b>546,308</b>		<b>333,000</b>		<b>0</b>	<b>879,308</b>
Cross Sectoral	123,600	AED				
	239,815	IFPRI				
	35,600	USDA				
<b>Subtotal</b>	<b>399,015</b>		<b>0</b>		<b>0</b>	<b>399,015</b>
Other	262,035	AMEX	0		0	262,035
<b>Total</b>	<b>5,435,090</b>		<b>435,865</b>		<b>0</b>	<b>5,870,955</b>

# HHRAA Project Monitoring and Evaluation System



**HHR**  
**PERFORMANCE MEASUREMENT**  
**AND**  
**EVALUATION SYSTEM**  
**(PILOT PROGRAM)**

**OVERVIEW**

March 1994

The PRISM Project is being conducted through a contract provided by the Center for Development Information and Evaluation to Management Systems International with support from Labat Anderson, Inc. and Research Triangle Institute.



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**HHR**  
**PERFORMANCE MEASUREMENT**  
**AND**  
**EVALUATION SYSTEM**  
**(PILOT PROGRAM)**

**OVERVIEW**

## CONTENTS

### INTRODUCTION

### SYSTEM DESCRIPTION/ SYSTEM PRODUCTS:

- THE ACTIVITY DATA SHEET/PERFORMANCE MEASUREMENT AND EVALUATION PLAN - BASIS OF THE SYSTEM
- SUBSECTOR RESULTS REPORTS
- ANNUAL HHR PROJECT RESULTS REPORT

### HHR EVALUATION SYSTEM - BASED ON RAPID, LOW-COST EVALUATIONS OF RESEARCH ACTIVITIES

# INTRODUCTION

**WHAT IS THE PURPOSE OF THIS OVERVIEW OF THE HHR PERFORMANCE MEASUREMENT AND EVALUATION SYSTEM?** The purpose of the overview is to provide a simplified description of the HHR Performance Measurement and Evaluation System to HHR managers and other professionals. The overview describes how information will be gathered, who will do it and when, and some steps managers might take to improve performance and get results.

**WHAT IS THE PURPOSE OF THE HHR PERFORMANCE MEASUREMENT AND EVALUATION SYSTEM?** The purpose of the system is to provide information about project performance to project and Africa Bureau managers to help them improve performance and get results.

**WHY IS SUCH A SYSTEM NEEDED?** HHR is an extremely complex project involving nine subsectors and scores of contractors. A more systematic approach to documenting projects outputs and purpose-level achievements is needed to help managers make management decisions based on facts and to improve performance and get results.

**WHY CAN'T WE USE THE TRADITIONAL A.I.D. EVALUATION SYSTEM TO PROVIDE THIS INFORMATION?** A.I.D.'s traditional evaluation system does not always provide managers with the kind of information they need when they need it. It usually (1) provides information only once or twice during the life of the project (2) is based on anecdotal rather than empirical information and (3) relies on external experts who know little about the project. This system will (1) provide performance information on a regular basis (three or four times per year) throughout the life of the project; (2) be based on empirical quantitative or qualitative data; (3) be implemented by those who know the most about the project - project managers and project contractors.

**WON'T THE INFORMATION BE BIASED IF IT IS PROVIDED BY PROJECT STAFF AND CONTRACTORS?** This system is based on the assumption that objectivity depends largely upon the empirical orientation of the information -- that is, the extent to which it is based on facts rather than anecdotes or "experience." Moreover, most studies show that information is more likely to be used in management decisionmaking to make improvements if it is gathered by insiders rather than by outsiders.

## SYSTEM DESCRIPTION/SYSTEM PRODUCTS

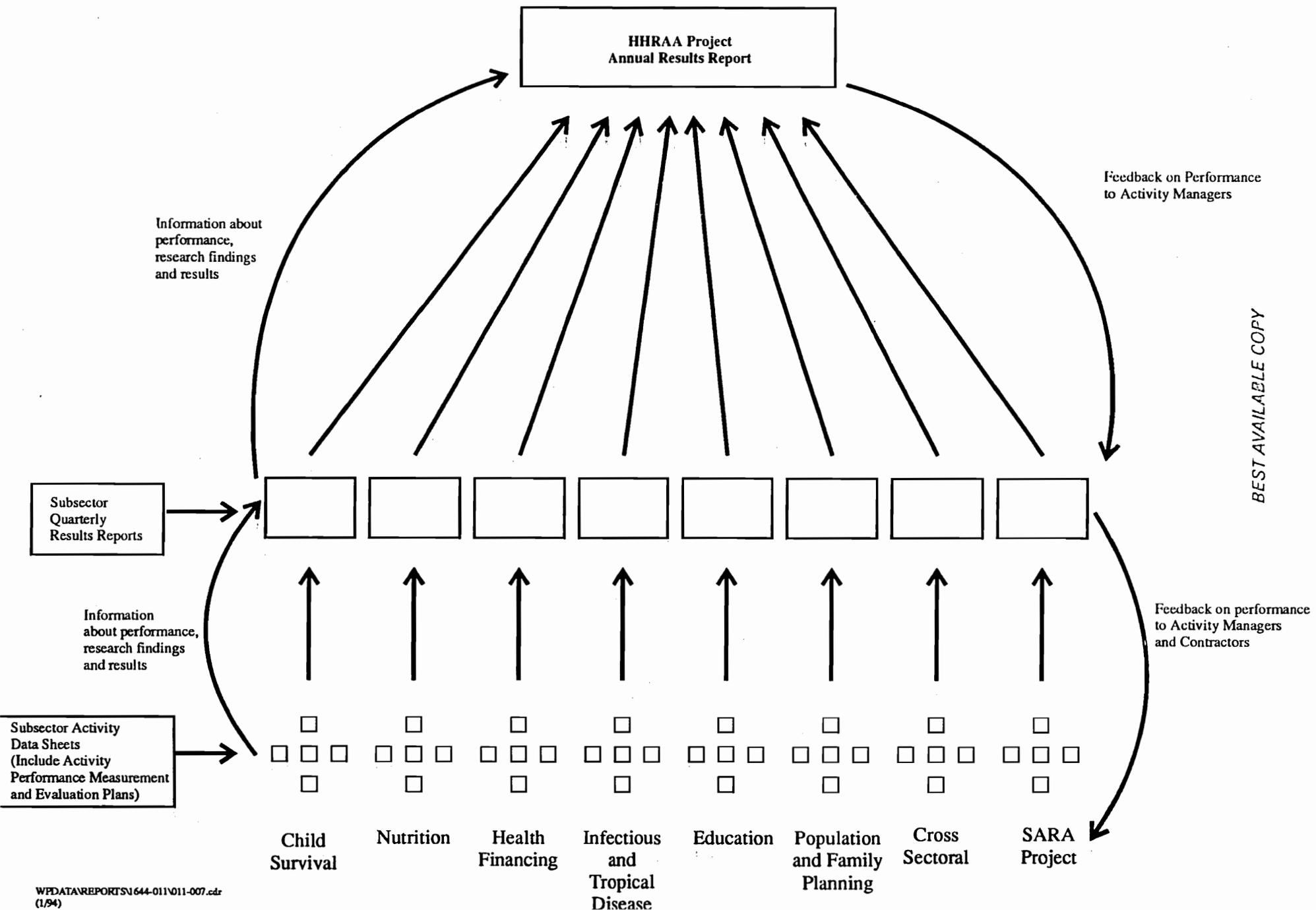
**HOW DOES THE SYSTEM WORK?** The system has three products that provide information to managers:

- An Activity Data Sheet (which includes a Performance Measurement and Evaluation Plan)
- A Subsector Results Report (e.g., for the family planning subsector or the infectious disease subsector); and
- An Annual Project Results Report

See Fig. 1. Principal Components of HHR Performance Measurement and Evaluation System

**THE PURPOSES AND USE OF EACH PRODUCT FOR MANAGEMENT DECISIONMAKING WITHIN THE SYSTEM ARE PRESENTED BELOW.**

**Figure 1. Principal Components of HHR Performance Measurement and Evaluation System**



**THE ACTIVITY DATA SHEET  
(AND ACTIVITY  
PERFORMANCE MEASUREMENT  
AND  
EVALUATION PLAN)**

**WHAT IS THE PURPOSE OF THE ACTIVITY DATA SHEET AND ACTIVITY PERFORMANCE MEASUREMENT AND EVALUATION PLAN?** The Activity Data Sheet (and Performance Measurement and Evaluation Plan)<sup>1</sup> is the basis of the entire system. It provides information to managers, at regular intervals, on the performance of all aspects of each research activity

**WHO PREPARES IT?** The contractor who is responsible for the research/dissemination activity prepares it when the funds are awarded and throughout the implementation of the research activity. The contractor will be informed of this requirement in writing at the start of the research activity.

**HOW OFTEN DOES THE CONTRACTOR UPDATE IT?** The contractor will be required to update it three times per year -- January 1, May 1 and September 1.

**WHAT KIND OF INFORMATION DOES IT PROVIDE?** It provides information on the following topics:

- background of the research activity
- financial obligations and expenditures
- African collaboration/dissemination
- planned versus actual outputs
- narrative description of performance and results and explanation of positive or negative deviations from planned outputs
- evaluation outputs and findings.

**WHO USES THE INFORMATION IN IT?** Activity Managers and RTAs will use it the most frequently to monitor the performance of the research activities they are responsible for. HHR, SARA, and AFRICA/ARTS Managers will use it when they want detailed and updated information on one particular research activity. It will also come in handy when an Activity Manager is on TDY and another staff person needs updated information about the Activity Manager's research activity.

**HOW IS IT USED?** Managers will be able to use it to:

- monitor implementation performance of each research activity
- examine activity purpose level achievements -- use of the research in projects, programs and policies -- by reviewing activity evaluation findings and
- when, it is aggregated with other Activity Data Sheets from the same subsector, assess the performance of the subsector as a whole.

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<sup>1</sup> Henceforth, we will simply refer to this product as the "Activity Data Sheet" rather than using the full name.

**HOW DOES THE ACTIVITY DATA SHEET DIFFER FROM THE EARLIER "DATA INFORMATION SHEET FOR ARTS/HHR ANALYTIC AGENDA ACTIVITIES?"** There are several differences. First, it will be updated by the contractor three times per year. Also, it

- calls for more detailed information concerning African participation, dissemination activities and expenditures and obligations;
- requests specific information from the contractor, (note: three times per year) on actual versus planned outputs; and
- includes an evaluation plan for each research activity, based on rapid, low-cost evaluations, to be implemented in most instances by the contractor.

**WILL THE PROJECT PROVIDE ASSISTANCE TO THE CONTRACTOR IN PREPARING THIS PRODUCT?** A sample Activity Data Sheet, which includes a Performance Measurement and Evaluation Plan, is attached to this overview and will be given to the contractor. It provides general guidance, especially with respect to what is called for with respect to "planned versus actual outputs" and the evaluation plan. Contractors can refer any specific questions they might have to the project Information Specialist or the SARA Evaluation Working Group.

**HOW ELSE IS THE DATA ACTIVITY SHEET USED?** It is used to prepare the Subsector Results Report, discussed in the next section.

**SAMPLE**  
**ACTIVITY DATA SHEET-STATUS REPORT**  
**ARTS-HHR ANALYTIC AGENDA ACTIVITIES**  
**January 1, 1994 -April 31, 1994 (updated three times per year by**  
**contractor/reviewed three times per year by HHR)**

**I. Background Data**

**Theme:** HIV/AIDS  
**Analytic Area:** Service Delivery (HPN). How to develop effective programs for prevention and control of HIV/AIDS and other STDs.  
**Activity Title:** Private Sector AIDS Policy Presentation (PSAPP) Development  
**Activity Number:?**  
**G Bureau Number?**  
**ARTS Activity Number:?**  
**USAID Project Manager:** Hope Sukin  
**USAID Activity Manager:** Bill Lyerly/JP Clark  
**Funding Approval Date:** May 1993  
**Activity Start Date:** August 1993  
**Activity Completion Date:** December 1995

**II. Contractor Data**

**Contractor:** Family Health International  
**Project Name:** AIDS Technical Support Project (AIDSCAP)  
**A.I.D. Project Manager:** Victor Barnes - (G Bureau)? phone?  
**Contractor Project Manager:** Matthew Roberts, AIDSCAP, 703-516-9779  
**Disadvantaged Enterprise:** (include \$ amount)

**III. Activity Data**

**Activity Goal:** Implementation of appropriate HIV/AIDS policies and prevention programs in the workplace  
**Activity Purpose:** To increase private sector involvement in HIV/AIDS prevention by demonstrating to private sector management the business/economic/legal and ethical reasons for investing in workplace-based AIDS prevention programs. A private sector AIDS Policy Presentation (PSAPP) training package prototype will be developed to achieve this purpose.  
**Activity Outputs:** Staff of various groups will be trained in using the PSAPP for policy dialogue with private sector managers; a training module prototype will be prepared; policy dialogue materials including a computer module for sectoral impacts will be produced.  
**Indicators of Change:** Nature/type of HIV/AIDS/STDs prevention programs and other related policies adopted by targeted workplaces

**Methodology:** Computer modelling, product development and evaluation. Three training modules will be developed on the basis of literature reviews, needs assessments and computer modelling of program costs and benefits of HIV/AIDS prevention to firms. The modules will be field tested in two African countries.

**Related Activities:** 1. World Bank research on the "economic impact of fatal adult illness"; 2. HIV/AIDS surveillance databases; 3. iwgAIDS model; 4. US domestic workplace policy presentation development activities of the National Leadership Coalition on AIDS.

**Activity Rationale:** The unprecedented levels of adult morbidity and mortality from the AIDS epidemic have significant implications for the major employers and businesses operating in Africa. In many countries health services are provided to workers by their employers through their own clinics or insurance schemes. These two facts provide the basis for opportunities to stem the HIV infection through existing private and public economic activities. This activity will bring employers into a discussion of what can be done in the workplace to prevent HIV infection and STDs among their workers, and to mitigate the effects of the illness, economic and social, on their workers and their families.

**Audience:** Private sector managers and policy makers. Staff of organizations such as Employers Federations, chambers of commerce, NGO/PVOs, unions, workers associations, ministries of health, labor, finance and national AIDS control programs.

**IV. Financial Data**

**Funding Mechanism:** PIO/T Grant MOU OYB Transfer (circle one)

**Amount Authorized:**

**Amount Obligated:**

**Amount Committed: Period:**  
**Cumulative:**

**Pipeline:**

**% Life of Activity Elapsed:**

**% of Total Authorization Obligated:**

**% of Total Obligation Expended:**

**% of Total Authorization Expended:**

**Expenditures to date (yr/mth) (\$ and % of total authorization):**

**By Country:**

**For Dissemination:**

**For Training/Technical Assistance:**

**For Evaluation:**

**V. Dissemination Data**

**Dissemination Modes (Mailing, Workshops, Diskettes, Technical Assistance, Teleconferencing, Training, Use of Media, other):** Distribution of training modules. Also, AIDSCAP will provide technical assistance as needed to organizations which use PSAPP materials beyond the development stage. (This would be beyond the SOW.)

**Nature of Follow-On Technical Assistance/Number and Organizational Affiliation of Recipients of Technical Assistance (if provided):**

**Recipient Organizations (US/Europe/Africa):**

**Number of Copies of each Report to Be Distributed (in English; in other languages):** 300 copies of the training modules will be distributed in English; 200 copies will be distributed in French.

**VI. African Participation Data**

**Collaborating African Institutions (subcontracts?):**

**Number of African Researchers and Total Number of Researchers:**

**Name/Number/Authors of Research Products Coauthored by Africans:**

**Number/Organizational Affiliation of Workshop Participants (if relevant):**

**VII. Performance Measurement and Evaluation Plan (updated three times per year by contractor/reviewed three times per year by HRA) (see attachment)**

**VIII. Activity Evaluation Plan (updated three times per year by contractor/reviewed three times per year by HRA) (see attachment)**

**IX. Narrative by Contractor: on Overall Status, Explanation of Performance, Key Research Findings, Unexpected Findings, Evaluation (interim and final) Findings, Improvement Activities to Be Undertaken, if necessary**

**ACTIVITY PERFORMANCE  
MEASUREMENT PLAN  
(hypothetical example)**

**Activity Performance Measurement Plan  
(hypothetical example)**

Activity (sub) Purpose(s)	Indicators of Purpose Achievement	Planned Outputs by Quarter	Actual Outputs By Quarter (Specify Completion Date)	Comments, Explain
1. To train 50 staff at 3 organizations	1. 50 staff trained by 5/94	<u>Year 1 '93</u> 4Q a- Baseline survey and site visits completed 9/93 b- Local trainers hired 9/93 c- Pre tests of trainers 9/93	<u>Year 1 '93</u> 4Q a- b- c- d- e- f-	
		<u>Year 2 '94</u> 1Q a- 25 staff trained 10/93 b- 25 staff trained 11/93 2Q a- Post-test of trainers 2/94	<u>Year 2 '94</u> a- b-	

**Activity Performance Measurement Plan  
(hypothetical example)  
(continued)**

Activity (sub) Purpose(s)	Indicators of Purpose Achievement	Planned Outputs by Quarter	Actual Outputs By Quarter (Specify Completion Date)	Comments, Explain
2. To develop training module prototype	2. Training module prototype completed 5/94	<u>Year 1 '93</u>		<u>Year 1 '93</u>
		4Q a- Needs assessment completed 9/93	4Q a-	
		b- Focus groups with private sector managers 9/93	b-	
		c- First draft training module 9/93	c-	
		<u>Year 2 '93</u>		<u>Year 2 '93</u>
		2Q a- Training module refined based on post-test results 6/94	3Q a-	

**Activity Performance Measurement Plan  
(hypothetical example)  
(continued)**

Activity (sub) Purpose(s)	Indicators of Purpose Achievement	Planned Outputs by Quarter	Actual Outputs By Quarter (Specify Completion Date)	Comments, Explain	
3. To have the training staff conduct presentations for managers at 20 workplaces and to bring about policy change at workplace towards HIV/AIDS information and counseling	3. Trained staff conduct presentations at 20 workplaces; at least 15 workplaces change HIV/AIDS policies	<u>Year 2 '94</u>	3Q a- Presentation at 5 workplaces completed by 7/94	a-	
		b- Presentations at 10 workplaces completed 9/94	b-		
		<u>Year 3 '95</u>	1Q a- Presentations at 5 workplaces by 12/94	<u>Year 3 '95</u>	1Q a-
		3Q a- Follow-up with private sector managers 6/95	a-		
		b- Follow-up survey of workplaces by 6/95	b-		
		4Q a- Complete final evaluation and lessons learned report	a-		

**Activity Performance Measurement Plan  
Continued  
(hypothetical example)**

4. Narrative

**Activity Evaluation Plan**  
 (hypothetical example of ways that rapid, low-cost evaluation approaches can be used in developing an  
 Activity Evaluation Plan)

Evaluation Purpose(s)	Planned Evaluation Outputs	Actual Evaluation Outputs	Comments on Findings/Explanation
1. <u>Year 1: Rapid Baseline Pre-Test.</u> To assess trainees' knowledge of HIV/AIDS/STDs and the project's policy dialogue topics (test prepared in 3 days of work).	1. <u>Year 1 Output: Report on Results of Pre-Tests.</u> Tests administered for trainees and analysis/report of 5-10 pages on test results available in 3-5 days: January 1994.	1.	1.
2. <u>Year 1: Rapid Baseline Mini Survey.</u> To assess workplace policies in 20 workplaces (preparation of interview guide: 2 days).	2. <u>Year 1 Output: Report on Results of Rapid Baseline Survey.</u> 5-10 page report on current workplace policies and programs in 20 workplaces. Available in 2 weeks: January 1994.	2.	2.

**Activity Evaluation Plan**  
**(hypothetical example of ways that rapid, low-cost evaluation approaches can be used in developing an**  
**Activity Evaluation Plan)**  
 (continued)

Evaluation Purpose(s)	Planned Evaluation Outputs	Actual Evaluation Outputs	Comments on Findings/Explanation
3. <u>Year 1: Focus Groups with Private Sector Manager:</u> To assess private sector managers' current attitudes towards and knowledge of workplace-based policies (preparation of focus group guide 2 days - arrangement for focus groups 3 days).	3. <u>Year 1 Output: Report on Focus Groups with Private Sector Managers.</u> 10 page report on results/findings from 15 focus groups. (Conduct of focus groups = 1 week; preparation of report = 1 week): February 1994.	3.	3.
4. <u>Year 3: Post-Test.</u> To assess changes in trainees' knowledge of HIV/AIDS/STDs and the project's policy dialogue topics (test prepared in 3 days of work).	4. <u>Year 3: Post-Test Report.</u> Tests administered on same trainees. Analysis/report available in 1 week: June 1994	4.	4.

(June 1994 - January 1995 - Presentations at 20 workplaces by trainees.)

**Activity Evaluation Plan**  
**(hypothetical example of ways that rapid, low-cost evaluation approaches can be used in developing an**  
**Activity Evaluation Plan)**  
 (continued)

Evaluation Purpose(s)	Planned Evaluation Outputs	Actual Evaluation Outputs	Comments on Findings/Explanation
5. <u>Year 3: Rapid Follow-up Survey.</u> To assess workplace policies/programs 6-12 months after presentations (preparation of key informant interview guide - 2 days)	5. <u>Year 3: Report on Rapid Follow-up Survey.</u> 15-20 page report on changes in workplace policies in 20 workplaces available in June 1995.	5.	5.
6. <u>Year 3: Focus Groups with Private Sector Managers.</u> To assess private sector managers' attitudes towards and knowledge of workplace based policies after the presentation.	6. <u>Year 3: Report on Focus Groups with Private Sector Managers.</u> 10 page report on results/findings from 15 focus groups June 1995.	6.	6.
7. <u>Year 3: Final Evaluation and Lessons Learned.</u> To summarize results of rapid evaluations and lessons learned	7. <u>Final Evaluation to Lessons Learned Report.</u> December 1995.	7.	7.

## SUBSECTOR RESULTS REPORT

## SUBSECTOR RESULTS REPORT

**WHAT IS THE PURPOSE OF THE SUBSECTOR RESULTS REPORT?** The purpose of this report is to:

- provide, to HHR project managers, quantitative and qualitative data on performance and results in each subsector (e.g., child survival, family planning, infectious disease, education etc.) at regular intervals throughout HHR project implementation;
- ensure that key results (and lack thereof) are documented;
- facilitate management decisionmaking -- and project improvement -- based upon facts;
- enhance management for results.

**WHY CAN'T HHR PROJECT MANAGERS JUST READ THE ACTIVITY DATA SHEETS?** They don't have the time. There are scores of research activities, all implemented by different contractors. HHR project managers need an overview of performance and key results (or lack thereof) in each subsector at regular intervals in order to make management decisions based on facts. Also, this report will be a way to capture HHR funded RTAs' accomplishments and outputs that are above and beyond their management of research activities.

**HOW ARE THE SUBSECTOR RESULTS REPORTS USED?** The Subsector Results Reports provide the basis for a regular review -- three times per year -- of subsector performance and results. HHR Project Managers will review each Subsector Results Report and provide feedback to Activity Managers and RTAs. Together they will identify where improvement activities are needed to enhance performance and results.

**WHO PREPARES THE SUBSECTOR RESULTS REPORT AND HOW FREQUENTLY?** The Activity Managers and Washington RTAs prepare the report three times per year -- immediately after the contractors update the Activity Data Sheets (January 1, April 1 and September 1).

**HOW DO MANAGERS AND RTA'S PREPARE THE REPORT?** They review the Activity Data Sheets and, *based on their review*, prepare a four to six page narrative that includes the following sections and answers the following questions:

- Outputs - Actual vs Planned. Comparing actual to planned outputs, have outputs in the subsector taken place as expected? For what individual activities has performance been better or worse than expected?
- Results - Purpose Level. Based on activity evaluation findings and other information, what evidence is there that the research has been used to improve projects, programs and policies? Is there evidence that research has not been used? Why not? If not, what should be done to enhance use?
- Financial Performance. Are obligations and expenditures on track in the subsector? If not, where/what is the problem?

- Research Results. What are the most important research findings that have emerged in the subsector since the last report? Why are they important and are dissemination activities adequate?
- Analytic Agenda. How is the subsector performing with respect to the analytic agenda?
- Dissemination and African Collaboration. What subsector results have been achieved with respect to dissemination and African collaboration?
- Evaluation. What are the key findings from the rapid, low-cost evaluations that have been undertaken of the research activities?
- Quantitative Results. What type of quantitative information is available on performance and results? (This section will provide quantitative information on a number of indicators that will be determined.)
- Performance Improvement Activities to Enhance Results. What should activity or project managers do to improve performance and enhance results in the subsector or project as a whole, especially with respect to dissemination of research results?

The Activity Managers should attach all Activity Data Sheets and RTAs' reports to the narrative.

**HOW DO FIELD-BASED AND WASHINGTON RTA'S PROVIDE INFORMATION FOR THE SUBSECTOR RESULTS REPORT?** Field-based RTAs will prepare a narrative that includes the same categories of information and addresses the same questions as the narrative outlined above. With respect to "planned versus actual outputs", they can report on the completion of activities that were specified in their annual workplan. The field-based RTA's report can be appended to the Subsector Results Report.

**HOW WILL THE SUBSECTOR RESULTS REPORTS HELP MANAGERS TO IMPROVE PERFORMANCE AND GET RESULTS?** There are no guarantees that the report will improve performance but it appears to have the potential to help managers get results for the following reasons. The report

- is prepared at regular intervals throughout implementation (three times per year) to help managers see where results are lacking and thus solve problems in their early stages.
- provides information about both lower and higher levels of performance. That is, it provides performance data at the output, outcome and purpose level. Many traditional monitoring and evaluation systems provide information either primarily at the program level (e.g., contraceptive prevalence rates, farmer adoption rates) or at the input/output level. With the former approach (at the program level), the data are provided only every three to five years (since change at this level only occurs very slowly) -- and thus the data do not tell managers what steps they have to take in the interim to get results. With the latter approach (input/output level), there is often little focus on the project purpose until the very end of the project, oftentimes too late to ensure its full achievement or documentation.

- presents the analysis of results by project staff rather than by external consultants. There is a wealth of literature that shows that data are more likely to be used to improve the project if the information is gathered and analyzed by insiders rather than outsiders.
- provides both quantitative and qualitative data that are gathered through rapid, low-cost evaluations of the research activities. This information should provide a more qualitative dimension that many information systems do not have. It should help managers understand not only "what happened" but "how well they are doing and why".

**SUBSECTOR RESULTS REPORT  
(FORMAT)**

## SUBSECTOR RESULTS REPORT

- I. Key Outputs (Actual vs. Planned)
- II. Results-Purpose Level
- III. Financial Performance
- IV. Research Results (Findings)
- V. Analytic Agenda
- VI. Dissemination and African Participation
- VII. Evaluation (Findings)
- VIII. Quantitative Results (indicators to be determined)
- X. Recommendations for Performance Improvement Activities to Enhance Results

**Attachments:**        **RTA Reports**  
                              **Activity Data Sheets**

## RTA REPORT

**Name**

**Subsector**

**Time Period**

**Outputs\*:**

- A. TDYs (objectives/accomplishments)
- B. Technical Assistance to Bureau (e.g., proposal review, analytical work, evaluations)
- C. Research Dissemination Management (report on progress/performance of research dissemination activities; to the extent possible, report on your knowledge of use of HHR research in projects, policies and programs)
- D. Other (publications, meetings attended)

\* To the extent possible, link the discussion of outputs to your annual workplan (e.g. actual vs. planned outputs)

## THE ANNUAL HHR PROJECT RESULTS REPORT

## THE ANNUAL HHR PROJECT RESULTS REPORT

**WHAT IS THE PURPOSE OF THE ANNUAL HHR PROJECT RESULTS REPORT?** The purpose of the annual report is to

- provide information on project performance and results at regular intervals to HHR, AFRICA/ARTS and other bureau managers,
- facilitate senior managers' decisionmaking concerning project improvements based on empirical data; and
- document project results and shortcomings.

**WHAT KIND OF INFORMATION DOES IT CONTAIN AND HOW DOES IT DIFFER FROM THE SUBSECTOR RESULTS REPORT?** The annual report will provide the following information to senior managers:

- an overview of key purpose level results and shortcomings -- information on use or lack of use of HHR research to improve projects, programs and policies
- a summary of key results and shortcomings in each subsector -- based on information in the latest subsector results report (the most recent subsector reports might be attached to the annual report)
- a summary of actual key project outputs compared to planned outputs (based upon the project's annual workplan) (e.g., guidelines clarifying roles and responsibilities completed; consultative working groups reviewed all research proposals, four major conferences held, etc.)
- a summary of the findings from the rapid, low-cost evaluations of the research activities
- recommendations to improve the project and enhance results.

The main differences between this report and the subsector reports are that the annual report provides information in a summary form (greater detail is included in the subsector reports) and it summarizes actual vs. planned outputs based on the annual project workplan (e.g., annual workplans for all staff completed; consultative working groups reviewed all research proposals). The subsector reports do not contain the latter.

**WHO WILL PREPARE THE ANNUAL RESULTS REPORT?** The HHR Project Information Specialist, in consultation and collaboration with Activity Managers, RTAs and the SARA Evaluation Working Group.

**HOW WILL IT BE USED?** HHR and Africa /ARTS managers will review the report and its recommendations and decide upon steps to improve project performance.

## ANNUAL RESULTS REPORT FORMAT

- I. Overview of Use or Lack of Use of HRA Research to Improve Projects, Programs and Policies (based on the most recent Subsector Results Reports)
- II. Summary of Key Results and Shortcomings in Each Subsector (based on the most recent Subsector Results Report)
- III. Summary of Key Project Outputs Compared to Planned Outputs (based on the Annual Project Workplan)
- IV. Summary of Findings From Rapid, Low-Cost Evaluations of Research Activities (based on the most recent rapid, low-cost evaluation reports)
- V. Recommendations to Improve Performance and Enhance Results

Attachments: the most recent Subsector Results Reports

**HHR EVALUATION SYSTEM  
BASED ON RAPID,  
LOW-COST EVALUATION METHODS**

## HHR EVALUATION SYSTEM<sup>2</sup> BASED ON RAPID LOW-COST EVALUATION METHODS

**WHAT IS THE STARTING POINT FOR THE HHR EVALUATION SYSTEM?** The starting point is the Activity Evaluation Plan which is included in all Activity Data Sheets.

**WHO PREPARES THIS PLAN?** The contractor.

**HOW SHOULD THE CONTRACTOR DEVELOP THE PLAN?** The plan should be based on rapid, low-cost methods. Some HHR research activities have already included evaluation plans based on these methods. USAID has prepared a range of manuals and guidelines on this approach.<sup>3</sup> The letter to the contractors will inform them that if they are unfamiliar with this approach, they can request the appropriate manuals from USAID/CDIE. If they have questions, they can contact the SARA Evaluation Working Group.

**WHAT, EXACTLY, ARE RAPID, LOW-COST METHODS?** Rapid, low-cost methods are evaluation approaches for gathering and analyzing quantitative and qualitative data relatively quickly and inexpensively.<sup>4</sup> The following techniques are frequently used: key informant interviews; group interviews or focus groups; informal surveys; observation and case studies.

**HOW WILL USING THESE METHODS HELP US TO MANAGE FOR RESULTS?** These methods will provide data that will help managers understand the how and why questions -- how well are we doing? Why did this happen or not happen? This information may be even more useful in management decisionmaking than information based on a compilation of quantitative indicators. The latter may provide hard data on the scope of HHR work but will not be helpful in determining the quality of that work or the nature of the results achieved.

**WHAT HAPPENS AFTER THE CONTRACTOR PREPARES THE ACTIVITY EVALUATION PLANS?** The Activity Manager, the RTA and, ideally, a member of the SARA Evaluation Working Group (the "subsector evaluation working group") should review all Activity Evaluations Plans in the subsector. (Note: the plans are attached to the Activity Data Sheets and can be easily detached, photocopied and circulated for review by the HHR and SARA staff working in that subsector.)

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<sup>2</sup> For an overview of the system, see Figure 2.

<sup>3</sup> See for example, A.I.D. Program Design and Evaluation Methodology Report No. 9, Guidelines for Data Collection, Monitoring and Evaluation Plans for A.I..D.-Assisted Projects, April 1987.

<sup>4</sup> As just one example, during a recent A.I.D. impact evaluation, the team social scientist hired two facilitators and two assistants to help conduct 12 focus groups. The focus groups were completed in about eight days and the analysis was ready in about two weeks. The cost was approximately \$3000.

**WHAT QUESTIONS SHOULD THE EVALUATION WORKING GROUP ASK AS PART OF THEIR REVIEW?** The Evaluation Working Group might consider asking the following questions as part of the review process:

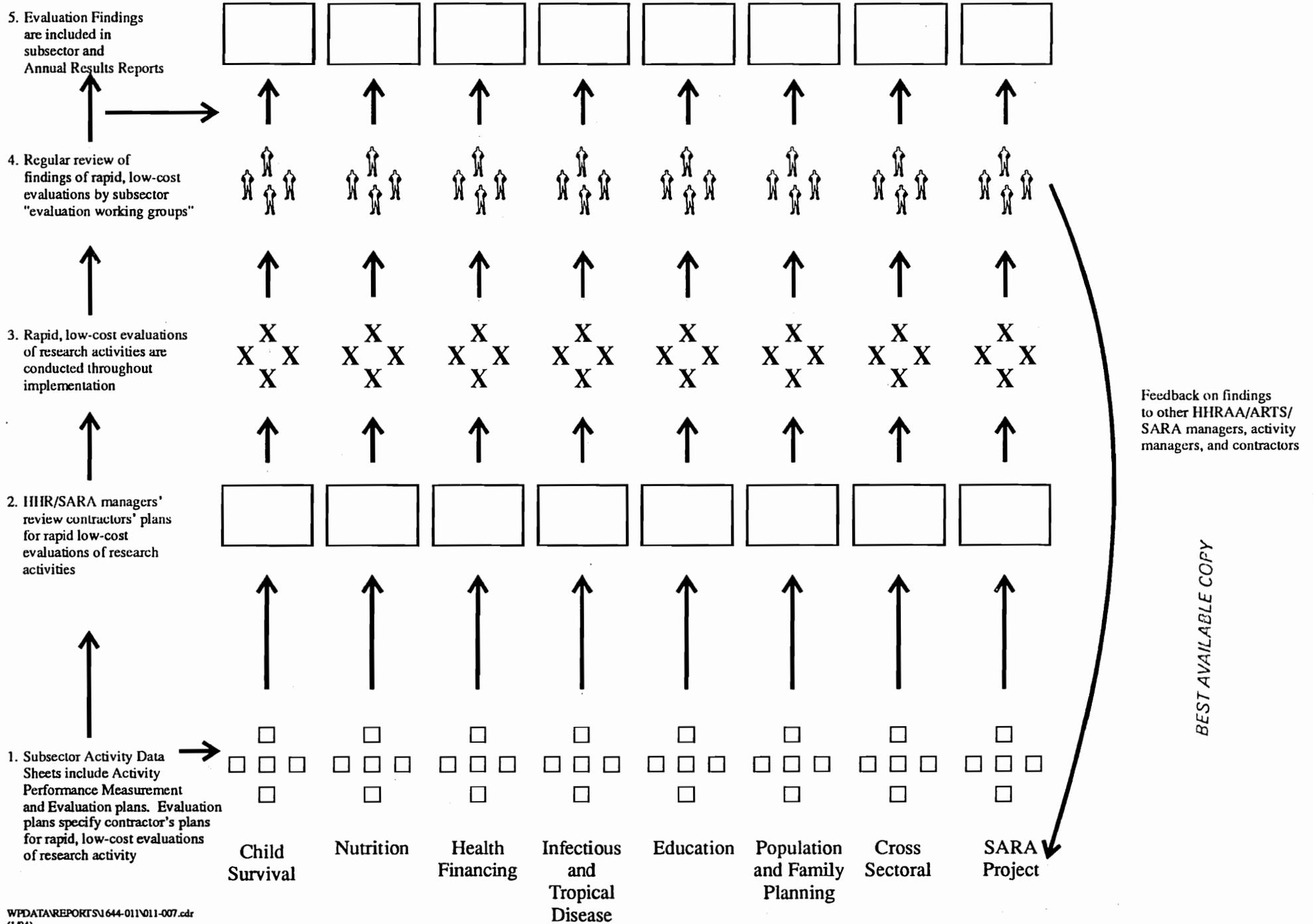
- Are contractor evaluation plans adequate given the nature/magnitude/importance of the research?
- Are the approaches based on rapid, low-cost methods that will provide empirical data on results? Or are they based on methods that will provide anecdotal information (e.g., "site visits") ?
- Should additional evaluation activities in the subsector be undertaken by the contractor or funded by HHR or SARA?
- If so, what additional evaluation activities should be undertaken?

The group should put their recommendations for any additional evaluation activities that might be called for, and the budget that might be necessary, along with a summary of key evaluation activities that will take place in the sector, into a memo for review by senior HRA managers.

**HOW WILL THE FINDINGS BE USED?** HHR managers might consider various ways to ensure that the evaluation findings are used to improve the design and implementation of new research activities. They should ensure that the findings are circulated and reviewed within the project. In addition to summarizing the findings in the subsector and annual results reports, HHR managers might consider:

- using regular staff meetings to present and review evaluation findings from one or more research activities;
- using the SARA Evaluation Working Group as a forum for the regular review of evaluation findings;
- preparing a biannual newsletter which summarizes key evaluation findings;
- appending the actual evaluations to subsector results reports; and/or
- conducting a one day annual workshop on lessons learned, based on that year's evaluation findings.

**Figure 2. Principal Components of HHR Project Evaluation System Based on Rapid Low-Cost Evaluation**



**HRA LEARNING STRATEGIES: HRA PROCESSES TO ANSWER MANAGERS' QUESTIONS AND GET THINGS DONE**

<b>HRA Mgrs Questions*</b>	<b>ADS/PME **</b>	<b>Subsector Rept</b>	<b>RLC Evals***</b>	<b>Annual Report</b>
<b>I don't have any idea if what is happening in the project is what is supposed to be happening.</b>	Info on planned vs actual outputs	Sumarizes planned vs actual outputs for the subsector		Summarizes this information for the project
I don't know if we are achieving our objectives.	Info on achievement of objectives every four months (with each update)	Summarizes achievements for the subsector every four months	RLC Evals examine this question	Ditto
We have scores of contractors. Are they doing what they told us they would do?	Each contractor will fully report every four months	Summarizes contractor achievements and shortcomings for the subsector every four months		Ditto
I want to know how we are doing with respect to African participation and dissemination activities.	Each contractor will report on these topics	Summarizes these outcomes for the subsector every four months	RLC Evals and process documentation activities examine these question	Ditto
I have no sense of where we are on obligations and expenditures.	Contractors will report on a range of financial indicators	Summarizes this information for the subsector every four months		Ditto
How will we be able to tell the evaluators and Africa Bureau managers what we have accomplished? Do we have any documentation on what we've done?	See above	Summarizes this information for the subsector every four months	RLC Evals and Process Documenation activities examine these question.	Ditto
How will we ever know if we have achieved the project purpose?			Ditto	Ditto
How will we know if we have achieved the goal?			Ditto	Ditto

\* These represent a few key questions. They have been selected to show how the HRA Learning Process will provide information to answer some of these question.

\*\* Activity Data Sheet/Performance Measurement Report

\*\*\*Rapid Low-Cost Evaluations and Process Documentation Activities

## USING LOW-TECH, NO BUDGET MONITORING TO LEARN ABOUT RESULTS AND TO ACHIEVE IMPACT

Problem	Data	Findings	Action	Result	Impact
for clients having more than one abortion, are staff following-up w/ modern methods?	- review of client records - client interviews	follow-up and targeting procedures inadequate	revise follow-up, targeting and counseling processes	increase in the % of women, who had an abortion, who are now using a modern method	increase in numbers of acceptors and contraceptive prevalence
how productive are CBD workers w/ respect to # of new acceptors?	-review of CBD records and service statistics	# of acceptors per CBD worker per month is very low	revise CBD training; strengthen supervision	increase in numbers of acceptors per CBD worker per month	increase in numbers of acceptors and contraceptive prevalence
why is the # of new acceptors each month low?	- community (group) interviews with non-clients	language problem, family planning is perceived as meaning abstinence	revise IEC to clarify meaning	decrease in number of communities where fp is understood as abstinence	increase in numbers of acceptors and contraceptive prevalence
do stockouts occur regularly or infrequently?	observation, counting of supplies available/unavailable each day per month	supplies of all methods low at end of each month; service delivery impaired	revise logistics procedures to ensure fewer stockouts	% of women turned away each month due to lack of supplies decreases	number of acceptors and contraceptive prevalence increases; continuation rates improve
are clients aware of existence of private sector sources for oral contraceptive?	-client interviews	clients unaware of the availability of oral s at local pharmacies	revise counseling and IEC	increase in % of clients who obtain resupply at pharmacies	pill continuation rate improves; contraceptive prevalence increases
are mobile units using too much gasoline per month per # of new acceptors?	- review mobile unit records to determine # of new acceptors per mobile unit per month	insufficient # of new acceptors per mobile unit per month to justify gasoline expenditures	reroute some mobile units to more populous areas ; include outreach element in others to increase acceptors	decrease in gasoline expenditures per acceptor; increase in # of acceptors per mobile unit per month	number of acceptors and contraceptive prevalence increases

**AFR/SD/HRD**  
**HHRAA Management Information System**  
**Part I: Activity Data Sheet (ADS)**  
**July 15, 1994**

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**I. Background**

1. *Theme:* One of 13 "possible themes" used in the Analytic Agenda Reviews. A list of options is provided.
2. *Analytic Area:* One of the 7 interim Analytic Areas the activity falls under. A selection of options is provided.
3. *Activity Title:* Descriptive title of the activity. A list of options is provided.
4. *Project Number:* The number assigned to USAID's basic unit of management, i.e., a project. The project number is seven (7) characters and has a default entry.
5. *Activity Number:* AFR/SD activity number. This number is a composite of the Topic, Theme, and Sequence number within a Theme. If full text of Topics and themes is entered in to system, a full text presentation of the Activity Number could be used for screen display and reports. Selection of an Activity Number through a pop-up menu automatically enters the related Activity Title.
6. *USAID Project Manager:* Name of the manager for the umbrella Health and Human Resources Analysis for Africa (HHRAA) Project in AFR/SD.
7. *USAID Activity Manager:* Name of the manager for this activity under the HHRAA project. A list of options is provided.
8. *Funding Obligation Date:* Date the funding for this activity was obligated.
9. *Activity Start Date:* Date the actual activity started according to the timeline.
10. *Activity Completion Date:* The official activity completion date.
11. *Audience:* U.S. and host country entities who need to be made aware of the nature and results of this activity. A list of options is provided.
12. *Methodology:* Scientific methods/processes used to conduct the research or analysis.
13. *Current Status:* Indicates the status of the activity. A list of options is provided.

## **II. Vendor**

1. *Name of Vendor:* Primary vendor responsible for implementing the activity. A list of choices is provided.
2. *Vendor Project Manager (Phone and Fax #):* Name, phone number and fax number of person managing the activity from the vendor's side.
3. *G Bureau Project Name:* Name of the Global Bureau project through which the activity is being funded.
4. *G Bureau Project Number:* Project number of the Global Bureau project through which the activity is being funded.
5. *G Bureau Project Manager:* Name of the Global Bureau project manager.
6. *G Bureau Office:* Name of G Bureau office through which funding for this activity is channeled. A list of options is provided.

## **III. Funding**

1. *Funding Mechanism:* The USAID approved mechanism by which the activity is funded. A list of options is provided.
2. *Funding Form:* Indicates whether the funding mechanism was implemented through an OYB Transfer, a PIO/T, or a Letter Grant. A list of options is provided.
3. *Document Number:* The number of the document authorizing funding for this activity. For example, the PIO/T Number.
4. *Life of Activity (LOA) Budget:* The total dollar amount authorized for the activity.
5. *Total (Cumulative) Obligation:* The total dollar amount obligated to date for this activity.
6. *Fiscal Year (FY) Obligation:* The total dollar amount obligated for this activity for the current fiscal year.
7. *Mortgage:* The amount of fund yet to be obligated for this activity. This field is automatically calculated by subtracting "Total Obligation" from "LOA Budget."
8. *Actual Expenditure:* The total dollar amount of money spent and invoiced.
9. *Accrued Expenditure:* The total dollar amount of money spent but not yet invoiced.
10. *Burn Rate:* The average monthly rate of expenditure.

11. *Pipeline:* The amount of fund that has been obligated but not yet expended. This field is calculated by subtracting the sum total of Actual Expenditure and Accrued Expenditure from the Total (cumulative) Obligation.
12. *Country Attribution:*
  - a. LOA and FY Obligation by Country
  - b. Percentage of LOA and Percentage of FY obligation by Country.
13. *Other Attributions:*
  - a. LOA and FY Obligation by:
  - b. Percentage of LOA and Percentage of FY obligation by:
    - Research and Analysis
    - Dissemination
    - Training
    - Technical Assistance
    - Evaluation
14. *Funding Earmarks:*
  - a. LOA and Fiscal Year Obligations by Funding Earmarks
  - b. Percentage of LOA and Percentage of Fiscal Year obligation by Funding Earmarks
    - AIDS (AG)
    - Basic Education (BG)
    - Child Survival (CG)
    - Non-Earmarked (KG)

#### **IV. Disadvantaged Enterprise**

1. *Name of Disadvantaged Vendor:* Name of "disadvantaged" firm participating in implementing the activity.
2. *LOA Obligation for Disadvantaged Vendor:* Life of Activity obligation for the "disadvantaged" vendor
3. *Fiscal Year Obligation for Disadvantaged Vendor:*
4. *Percent of Total LOA Obligation for Disadvantaged Vendor:* LOA obligation for the "disadvantaged" vendor as percent of total LOA obligation for the activity.
5. *Percent of Total Fiscal Year Obligation for Disadvantaged Vendor:* LOA obligation for the "disadvantaged" vendor as percent of total Fiscal Year obligation for the activity.

#### **V. Related Activities**

1. *Related Activity Number:* Activity number of related activities. A list of options is provided.
2. *Related Activity Title:* Title of related activity. A list of options is provided.

## **VI. African Participation**

1. *Name of African Institution(s):* Name(s) of African institution participating in implementing the activity.
2. *Total Number of All Researchers:* Total number of all researchers involved in this activity.
3. *Total Number of African Researchers:* Total number of African researchers involved in implementing this activity.
4. *Research Products Co-Authored by Africans:* Titles of research products co-authored by Africans.
5. *Number of Africans Trained:* Number of African trained through the activity process.
6. *Number of Africans Participating in Workshop:* Number of Africans participating in workshops funded by the activity.

## **VII. Dissemination**

1. *Dissemination Product:* Type of activity product disseminated. A list of options is provided.
2. *Title of Product:* Title of activity product disseminated.
3. *Author(s) and Date(s):* Author(s) and date(s) of dissemination product. If it is a workshop, indicate name of sponsoring organization.
5. *Number of Product Disseminated in:* 1) In Africa; 2) Other.
6. *Dissemination Mode:* Indicates whether the product was disseminated via mail, conference workshop, face to face, e-mail/internet, TV, radio, flyer, etc.

**The following field is common to all the screens:**

*Comments:* Additional qualitative information about the activity worth noting.

**AFR/SD/HRD**  
**HHRAA Management Information System**  
**Part II: Performance Measurement Plan (PMP)**  
**July 15, 1994**

---

**I. Background**

1. *Theme:* One of 13 "possible themes" used in the Analytic Agenda Reviews. A list of options is provided.
2. *Activity Title:* Descriptive Title of the Activity
3. *Activity Number:* AFR/SD activity number. This number is a composite of the Topic, Theme, and Sequence number within a Theme. If full text of Topics and themes is entered in to system, a full text presentation of the Activity Number could be used for screen display and reports.
4. *Activity Goal:* The proposed long-range results or **impact** of an activity, defined in general terms. This refers to the effects of activities at the country or population level.
5. *Activity Purpose:* The object of the activity described in clearly, defined, measurable terms.
6. *Activity Start Date:* Date the actual activity started according to the timeline.
7. *Activity End Date:* The official activity completion date

**II. Monitoring Information**

1. *Outputs:* The type and quantities of goods and/or services produced by an activity in order to achieve its purpose. For example, Two Training Modules on FP, Five Community Health Workers Trained, etc.
2. *Critical Steps:* Specific actions necessary to achieve the outputs.
3. *Expected Completion Date:* Planned completion date for each of the critical steps.
4. *Actual Completion Date:* Actual completion date of each of the critical steps.

**III. Narrative (qualitative information not part of computerized MIS, not to exceed two pages)**

The following items should be addressed:

1. Overall status
2. Accomplishments during the reporting period
3. Progress towards achieving activity purpose
4. Major problems and actions taken or planned to address them
5. Evaluation plans
6. Next steps

HHRAA Management Information System

*Activity Data Sheets*  
*Performance Measurement*  
*Plan Manual*

Designed and written by Paul H Mannes Consulting  
Programming by William Bloomer  
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July 15, 1994

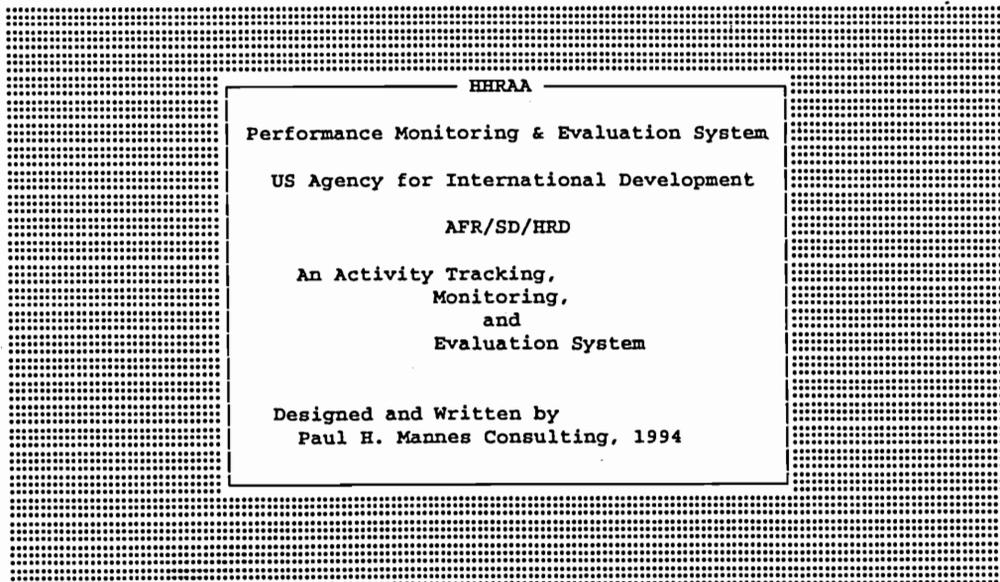
## HHRAA Management Information System

The HHRAA Management Information System (MIS, a part of the Performance Monitoring & Evaluation System) is a computer software program containing HHRAA Activities information. Information for each Activity is entered and accessed by specific information areas, such as Audiences, Funding, Expenditures and so on. All information is also available through various reports and listings. The entire system is designed to be fairly intuitive to use. A standard set of screen formats and keyboard (or mouse) access is used throughout.

*Before using the program, all information available for a particular Activity should be ready and available for entry.*

The following pages present a step by step introduction to entering (or viewing) Activity information. The various screens are also presented as a visual reference. Any Activity information shown is purely for example.

To access the HHRAA MIS you must have access to the software as loaded on your computer. It will be listed on your computer's network menu. If necessary consult with your office computer support person for clarification on this.





The Second menu choice, "**Activity Management**", has four choices.

- "**Browse**" - A browse window allowing you to make a selection from the displayed records by highlighting the record you desire and pressing either "Enter" or the right-mouse button.
- "**Open**" - To display an entry box asking you for the Activity number you wish to see.
- "**New**" - To create a new Activity screen and allow all information for a new Activity to be entered.

The Third menu choice, "**Data Mgmt**", has one choice.

- "**Reports**" - Reports is password protected. This option leads to a submenu of various Reports.

The Fourth menu choice, "**Utility**" is also password protected. This menu gives access to the support databases in the system. Support databases are those containing standard default or predefined information from which selections are made during the data entry or editing of a particular Activity. For example, a list is maintained of all the Countries which may be needed for Countries of Attribution. The entry person needs only select from this list rather than typing in a name. Within the system, whenever information is available from such a support database, a "**Press F2...**" message will be displayed at the bottom of the screen.

## ***Basic screen control.***

The main data entry screen ( and all subsequent entry screens ) have controls on the bottom of the screen. Most of them are self-explanatory.

The first row enables you to navigate the database by skipping forward or backwards, or going to the beginning or end of the database.

<-	will take you to the beginning (first record) of the file
<-	will take you backwards through the database one record at a time
->	will take you forward through the database on record at a time
->	will take you to the end (last record) of the database

The second row allows you to add, edit, delete and so on. All of the data entry screens are set up in this manner. Some of the options listed below are not available on all screens.

<Add>	displays a new record with blank fields for entry
<Edit>	displays the current record with current information to be edited
<Del>	deletes the current record if you answer yes to the question "Delete?"
<Browse>	presents a scrolling browse window of records in the database that may be selected by using the up and down arrow keys and then pressing either <b>Enter</b> or the <b>rightmouse</b> button
<Seek>	presents a popup box asking for the activity number you wish to find.
<Print>	prints out information relative to the screen you are on.
<Exit>	exits the current screen and returns to the previous screen.

In the Add or Edit modes the **Tab** key will move you from one field to the next. The **cursor arrows** (<- and ->) keys will move you forwards and backwards through the fields as well.

When there is a popup associated with a particular field there will be instructions on the bottom of the screen as noted above. To navigate a popup use the up and down arrows, or if there is a scroll bar on the right hand side of the popup you may use the mouse, to highlight the information you want and press either **Enter** or the **rightmouse** button to insert that information into the selected field.

When entering information into a **Comments** field, type in the text. It will automatically wrap at the end of the line. To exit a comments field use the **Ctrl+Tab** key combination. This information also appears at the bottom of the screen.

### The Main Screen.

The following table is a brief description of what each of the fields and entries are on the main database screen.

```

HHRAA Performance Monitoring & Evaluation System
Project Number 698-0483          USAID Project Mgr Hope Sukin
Activity Number 385             USAID Activity Mgr Hope Sukin
Activity Year 1993              Activity Dates: Start 03/01/93 End / /
Analytic Area Infectious/Tropical Diseases      Last Updated 06/27/94
Title What are the Optimal Strategies and Interventions for
Controlling Resurgent Malaria?
Goal The general goal for this project, and it should be scrol
Theme Malaria & Emerging Health Threats
<Methodology> < Comments > <Audience> <Dissemination>

LOA Budget $2,500,000           <Funding Mechanism History>
Cumulative Obligation $4,533,343 <Expenditures>
Activity Mortgage $-2,033,343 Cur FY Pipeline $3,533,343
Fiscal Yr Obligation $4,533,343 1994 Burn Rate $0

<Remarks Information> <Country of Attribution> <African Participation >
<Vendor Information> <Related Activities> <Global Bureau>
<Disadvantaged Firms> <Obligation Areas> <Performance Measurement>
Current Status On-Going          Evaluated 06/10/94

< Add > < Save > <Del > <Seek> <Print> <Cancel>

```

Press F2 or right-mouse for popup

**Project Number** The number assigned to USAID's basic unit of management, i.e., a project. The project number is seven (7) characters and has a default entry.

**Activity Number** AFR/SD activity number. This number is a composite of the Topic, Theme, and Sequence number within a Theme. If full text of Topics and themes is entered into system, a full text presentation of the Activity Number could be used for screen display and reports. Selection of an Activity Number through a pop-up menu automatically enters the related Activity Title.

Activity Year	Year of analytical agenda.
Analytic Area	One of the 7 interim Analytic Areas the activity falls under. A selection of options is provided.
USAID Project Manager	Name of the manager for the umbrella Health and Human Resources Analysis for Africa (HHRAA) Project in AFR/SD.
USAID Activity Manager	Name of the manager for this activity under the HHRAA project. A list of options is provided.
Activity Start Date	Date the actual activity started according to the timeline.
Activity Completion Date	The official activity completion date.
Activity Title	Descriptive Title of the Activity. Automatically added when Activity Number is selected.
Activity Goal	The proposed long-range results or <b>impact</b> of an activity, defined in general terms. This refers to the effects of activities at the country or population level.
Methodology	Scientific methods/processes used to conduct the research or analysis.
Comments	Additional qualitative information about the activity worth noting.
Audience	U.S. and host country entities who need to be made aware of the nature and results of this activity. A list of options is provided.
Dissemination	Specific information on types of activity products disseminated.
LOA Budget	Life of Activity Budget figure.
Cumulative Obligation	The total dollar amount obligated to date for this activity.
Activity Mortgage	The amount of fund yet to be obligated for this activity. This field is automatically calculated by subtracting "Total Obligation" from "LOA Budget".
Fiscal Year Obligation	The total dollar amount obligated for this activity for the current fiscal year.
Current Fiscal Year	Fiscal Year entry in form: "19XX".
Funding Mechanism History	The USAID mechanisms by which the activity is funded. A list of options is provided.
Expenditures	The total amount of money spent.

<b>Pipeline</b>	The amount of fund that has been obligated but not yet expended. This is calculated by subtracting the sum total of Actual Expenditure and Accrued Expenditure from the Total (cumulative) Obligation.
<b>Burn Rate</b>	The average monthly rate of expenditure.
<b>Earmarks</b>	Related database for entry of funds specifically earmarked for different reasons.
<b>Vendor Information</b>	Related database of vendors for this activity.
<b>Disadvantaged Enterprise</b>	Related database of disadvantaged firms participating in this activity.
<b>Country Attribution</b>	Financial obligation attributed towards the activity in specific countries.
<b>Related Activities</b>	List of activities related to current activity.
<b>Obligation Areas</b>	Financial information about areas of obligation in this activity.
<b>African Participation</b>	Information about African countries and organizations involved in this activity.
<b>Global Bureau</b>	Name of Global Bureau Project through which this activity is being funded.
<b>Performance Measurement</b>	Sub-system to measure the performance of the activity. Please note that a WordPerfect Narrative should accompany this section. See your Information/Evaluation Specialist for further information.
<b>Evaluated</b>	Date this activity will be evaluated.
<b>Current Status</b>	Popup list of current status of this activity.

Some fields have special instructions which will appear at the bottom of the screen. The first popup is associated with the Activity Number. Pressing F2 or the **rightmouse** button will show you the following list:

```

HHRAA Performance Monitoring & Evaluation System
Project Number 698-0483          USAID Project Mgr Hope Sukin
Activity Number 3B5             USAID Activity Mgr Hope Sukin
A Activity Numbers/Titles
| 1F1 | CCD Country Specific studies of HPN Behavior Change
| 1F11 | How can country capacity to assess student learning be impo
| 1F13 | How can we improve infant feeding practices through health
| 1F14 | What Are the Early Design, Implementation and Impact Findi
| 1F15 | What factors influenced the rate of decline of infant and
| 1F16 | Comparative Analysis of Urban Population Programs.
| 1F17 | Analysis of Vertical and Integrated Family Planning Servic
| 1F18 | Role of the Private Sector in Providing and Sustaining Hea
| 1F19 | Sustainability of Health Care Services
| 1F2 | How can we improve case Management of the "sick child"?
| 1F20 | Donor to African Education
| 1F3 | Study of African education policy formation process
| < 1F4 | Epidemiological and economic impacts of selected infectiou
| < 1F5 | CCD end of project reports on immunization, malaria, heal
| < 1F6 | Overview of current education and training programs in Afr
| C 1F7 | DES comparison analysis of HPN results in Africa
| 1F8 | Country specific reports on teenage and young adult women
| 1F9 | Development of African Base Education Data Base
| 2B1 | How well do the equity aspects of current education projec
| 2B2 | What Have We Learned About Community Based Distribution of
Press <Enter> to select item, <ESC> to exit
  
```

The next popup is for the Analytic Area. It looks like this:

```

HHRAA Performance Monitoring & Evaluation System
Project Number 698-0483          USAID Project Mgr Hope Sukin
Activity Number 3B5             USAID Activity Mgr Hope Sukin
Activity Year 1993              Activity Dates: Start 03/01/93 End / /
Analytic Area                   1 Diseases                      Last Updated 06/27/94
| Basic Education                | al Strategies and Interventions for
| Child Survival/Maternal Health | ent Malaria?
| Finance and Sustainability     | or this project, and it should be scrol
| Infectious/Tropical Diseases  | Health Threats
| Information Dissemination     | > <Audience> <Dissemination>
| Nutrition                      |
| Population/Family Planning    | 0 <Funding Mechanism History>
|                               | 3 <Expenditures>
|                               |
| Activity Mortgage $-2,033,343 | Cur FY Pipeline $3,533,343
| Fiscal Yr Obligation $4,533,343 | 1994 Burn Rate $0
|                               |
| <Earmarks Information> <Country of Attribution> <African Participation >
| <Vendor Information> <Related Activities> <Global Bureau>
| <Disadvantaged Firms> <Obligation Areas> <Performance Measurement>
| Current Status On-Going | Evaluated 06/10/94
|                               |
| < |<- > <- > <- > <- > | >
| < Add > < Save > <Del > <Seek> <Print> <Cancel>
Press <Enter> to select item, <ESC> to exit
  
```

Instead of going through a description of every popup it is sufficient to say that all popups behave the same way. There will be a message on the bottom line saying "Press F2 or rightmouse for popup", and after the popup appears instructions on the bottom line will say "Press <Enter> to select item <Esc> to exit". You can use the up and down arrows to navigate the popup or the mouse if a scroll bar appears to the right of the popup.

On the main screen there are two "memo" fields: Methodolgy and Comments. They will both look like this:

```

HHRAA Performance Monitoring & Evaluation System
Project Number 698-0483      USAID Project Mgr Hope Sukin
Activity Number 3B5          USAID Activity Mgr Hope Sukin
Activity Year 1993           Activity Dates: Start 03/01/93 End / /
Analytic Area Infectious/Tropical Diseases      Last Updated 06/27/94
Title What are the Optimal Strategies and Interventions for
Ctrl+W or Right-Mouse to Save
Different methods for dissemination, how objectives might be reached, etc.
Cumulative
Fiscal
<Esc> to Cancel
<Disadvantaged Firms> <Obligation Areas> <Performance Measurement>
Current Status On-Going      Evaluated 06/10/94
<Add> <Save> <Del> <Seek> <Print> <Cancel>
Click this item to access it's information.

```

Most of the following selections will take you to a related database entry screen allowing you to enter numerous records all related to the Activity Number on the main database screen. The first is Audiences.

```

Audiences for Activity
Activity 3B5
Audience African Researchers
<Add> <Edit> <Del> <Browse> <Print> <Exit>

```







The funding screen:

```
..... Funding .....
..... Activity Number 3B5 .....
.....
..... Mechanism PASA .....
.....
..... Mechanism Form OYB Transfer .....
.....
..... Document Number 3w412o314uf a .....
.....
..... Obligation Date / / .....
.....
..... Obligation Year 1994 .....
.....
..... Obligation Amount $ 4,533,343 .....
.....
..... <|<- > <- > <- > <- >|> .....
..... <Add > <Edit> <Del> <Browse> <Print> <Exit > .....
```

The Vendor screen:

```
..... Vendor .....
..... Activity 3B5 .....
.....
..... Vendor A New Vendor .....
.....
..... Project Manager A New Manager .....
.....
..... Phone A New Phone .....
.....
..... Fax A New Fax .....
.....
..... Analytical Year 1994 .....
.....
..... <|<- > <- > <- > <- >|> .....
..... <Add > <Edit> <Del> <Browse> <Print> <Exit > .....
```









The following screens are the Utility database entry screens used for entering and updating information in the popups.

The Utilities Menu:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
Activities - # and Titles
Analytical Areas
Audiences
Countries
Dissemination Modes
Dissemination Products
Earmarks
Global Bureau
Activity Managers
Reindex
Activity Status
Themes
Vendors
.....
< Exit >
.....
Press Alt Key to Activate Menu Bar
```

The Activities Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
>Activities - # and Titles
Activities
.....
Activity 3B5
.....
Title What are the Optimal Strategies and Interventions for
Controlling Resurgent Malaria?
.....
<|<-> <-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
< Exit >
.....
```

## The Analytical Areas Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
Activities - # and Titles      ▲
>Analytical Areas            ◆
Analytic Area
Analytic Area Basic Education
.....
<|<-> <<-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
Vendors                       ▼
.....
< Exit >
```

## The Audiences Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
Activities - # and Titles      ▲
Analytical Areas              ◆
Audiences
Audience USAID/W
.....
<|<-> <<-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
Vendors                       ▼
.....
< Exit >
```

## The Countries Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
Activities - # and Titles
Analytical Areas
.....
Country List
.....
Country Benin
.....
Status
.....
<|<-> <-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
Vendors
.....
< Exit >
```

## The Dissemination Modes Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
Activities - # and Titles
Dissemination Mode
.....
Mode Mail
.....
<|<-> <-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
< Exit >
```

## The Dissemination Products Screen:

```
System Activity Mgmt Data Mgmt Utility
-----
Utilities Menu
-----
Activities - # and Titles
Analytical Areas
Audiences
Dissemination Products
-----
Product Article
-----
<|<-> <<-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
-----
Themes
Vendors
-----
< Exit >
```

## The Earmarks Screen:

```
System Activity Mgmt Data Mgmt Utility
-----
Utilities Menu
-----
Activities - # and Titles
Analytical Areas
Audiences
Earmarks Codes
-----
Code AG Description AIDS
-----
<|<-> <<-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
-----
Themes
Vendors
-----
< Exit >
```

## The Global Bureau Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
  Activities - # and Titles  ▲
  Analytical Areas         ◆
  Audiences                 ▬
.....
Global Bureau Offices
.....
Bureau G/R&D/H/AR
.....
  <|<-> <<-> <-> >>-> >>->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
  Vendors                   ▾
.....
  < Exit >
.....
```

## The Activity Managers Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
Utilities Menu
.....
  Activity Managers
.....
Activity Manager Marion Warren
.....
Phone (202)647-6036
.....
  <|<-> <<-> <-> >>-> >>->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
.....
  < Exit >
.....
```

## The Activity Status Screen:

```
System Activity Mgmt Data Mgmt Utility
-----
Utilities Menu
-----
Activities - # and Titles
Analytical Areas
Audiences
Countries
-----
Status
-----
Status On Hold
-----
<|<-> <-> <-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
-----
Themes
Vendors
-----
< Exit >
```

## The Themes Screen:

```
System Activity Mgmt Data Mgmt Utility
-----
Utilities Menu
-----
Activities - # and Titles
Themes
-----
Theme Population/Family Planning
-----
<|<-> <-> <-> <-> <->|>
<Add > <Edit> <Del> <Browse> <Print> <Exit >
-----
< Exit >
-----
Press Alt Key to Activate Menu Bar
```

The Vendors Screen:

```
System Activity Mgmt Data Mgmt Utility
.....
.....Utilities Menu.....
.....
.....Activities - # and Titles.....
.....Vendor.....
.....
Vendor Abt Associates
.....
.....<|<-> <- > <-> <->|>.....
.....<Add > <Edit> <Del> <Browse> <Print> <Exit >.....
.....
.....< Exit >.....
.....
.....
```

## Reports

There are reports which can be accessed only by use of password. The reports screen looks like this:

```
System Activity Mgmt Data Mgmt Utility
-----
Reports Menu
-----
Activity Profiles
Activity Vendors
Disadvantaged Enterprise
Related Activities
African Participation
Disseminations
Comments
---- Funding -----
Overall Obligations
Expenditures
Obligation Areas
Country of Attribution
Remarks

Send Report to
( ) Screen
( ) Printer

Analytical Year
1994

<Do Report > < Exit >
-----
Press Alt Key to Activate Menu Bar
```

## ***Technical Support Information***

The HHRAA program is constructed on relational database framework. The following listing of databases can be consulted if for some reason a "Database not found" message should appear.

hhrmain.dbf - the main database which drives all others. Key = activitynumber  
hhraud.dbf - audiences related to the main activity  
hhrdisem.dbf - dissemination products related to main activity  
hhrfunds.dbf - funding information related to main activity  
hhrexps.dbf - expenditures related to main activity  
hhrearmk.dbf - earmarked funds related to main activity  
hhrvendr.dbf - vendors involved with main activity  
hhrdisad.dbf - disadvantaged firms involved with main activity  
hhrcoatr.dbf - countries of funding attribution involved with funding of main activity  
hhrrealt.dbf - activities related to main activity  
hhrafprt.dbf - African countries involved in main activity  
hhrotpur.dbf - Performance measurement purposes  
    hhrotout.dbf - performance measurement outputs related to purposes  
    hhrotcs.dbf - performance measurement critical steps related to outputs

There are also other databases containing information that appear in the popups.

### Auxillilary Databases

hhraacts.dbf - list of activities and titles  
hhraanal.dbf - analytical areas  
hhrcntry.dbf - African countries  
hhrdmode.dbf - dissemination modes  
hhrecode.dbf - earmarks  
hhrgbur.dbf - global bureaus  
hhrmgrs.dbf - HHRAA activity managers  
hhrstats.dbf - HHRAA activity status  
hhrtheme.dbf - activity themes  
hhravend.dbf - HHRAA vendors

HHRAA PM&E System

---

Project Number: 698-0483                      USAID Project Mgr: Hope Sukin  
Activity Number: 1F19                            USAID Activity Mgr: Abe Bekele  
Activity Year: 1994                            Start Date:09/01/93 End Date: 10/30/94  
Analytic Area: Health Financing & Sustainabil    Last Updated: 09/28/94

---

Title: Sustainability of Health Care Services

---

LOA Budget:	\$500,000	FY Obligation:	\$500,000
Total Obligation to Date:	\$500,000	Pipeline:	\$187,675
Activity Mortgage:	\$0	Burn Rate:	\$21,154

---

Goal: To assist decision makers in African governments and international agencies to craft better policies and programs by providing analytical data and documentation on key health financing issues.

---

Methodology: Applied research: rapid assessments, surveys; policy driven and policy neutral approaches.

---

Theme: Health financing & sustainability

---

Comments:

---

Vendor: Abt Associates  
Manager: Gerald Wein  
Phone: 301-913-0500                      Fax: 301-652-3916

---

Global Bureau #: 936-5974  
Name:  
Manager: Bob Emery  
Office: G/PHN/HN/HSD

---

Current Status:On-Going
-------------------------

HHRAA PM&E System

REFERENCES

- 1 Academia
- 2 Host Country Governments
- 3 USAID/W
- 4 Local PVOs/NGOs
- 5 Other Donors
- 6 USAID Missions
- 7 African Researchers
- 8 U.S. Researchers

DISSEMINATION

FUNDING MECHANISM HISTORY

1 Mechanism: Contract Form: OYB Transfer  
 Number: 936-5974-3692728 Obligation Date: 08/17/93  
 Fund: 1994 Funding Amount: \$500,000

EXPENDITURES	FY	Actual	Accrued
1	1994	\$295,402	\$16,923

MARKS	Area	Year	FY Amount	Percent	LOA Amount	Percent
1	CG	1994	\$0	0	\$500,000	100

COUNTRY	ATTRIBUTION	Year	FY Amount	Percent	LOA Amount	Percent
1	Senegal	1994	\$0	0	\$200,000	40
2	Niger	1994	\$0	0	\$130,000	26
3	Tanzania	1994	\$70,000	14	\$71,080	14
4	Non-Country	1994	\$0	0	\$105,000	21

DISADVANTAGED FIRMS

RELATED ACTIVITIES

OBLIGATION AREAS	Amount	Percent
Research & Analysis	\$411,955	82
Dissemination	\$51,598	10
Training	\$0	0
Technical Assistance	\$36,448	7
Evaluation	\$0	0

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HHRAA PM&E System

1	AFRICAN PARTICIPATION	Institution	Person
2	Tanzania	University of Dar es Salaam	M. G. Munishi
3	Senegal		
	Niger	Ministry of Health	

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Performance Measurement Plan Report

Activity: 9S2

Theme: Population/Family Planning

Title: Tendencies and Determinants of Modern  
Contraception and Reproductive Health Behavior in  
Adolescents

Goal: To help establish and revise family planning and reproductive  
health policies and programs targeting adolescents by identifying  
and disseminating the behavior determinants and service barriers.

Started: 05/07/94

End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
► To conduct quantitative data research consisting of a multivariate analysis of existing data.	» 1 workshop on focus group and key informant interview methodologies (9 participations)	≡ Init. data collection in 6 countries; select. of local demographers/statistician	06/30/94	/ /
		≡ Develop analysis questionnaire; send to in-country demographers;	08/15/94	/ /
		≡ Prepare statistical tbls. & notes on method., sources & qual. of existing data;	07/30/94	/ /
		≡ Prepare statistical framework & est. of multivariate regression coefficients;	10/30/94	/ /
		≡ Conduct workshop on statistical analysis;	01/15/95	/ /
		≡ Conduct sem. to review study results, identify policy/prog. impl., & dev. dissemination plan	02/15/95	/ /

Performance Measurement Plan Report

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Goal: To help establish and revise family planning and reproductive  
health policies and programs targeting adolescents by identifying  
and disseminating the behavior determinants and service barriers.

Started: 05/07/94

End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
		≡ Write and edit technical report;	04/30/95	/ /
		≡ Design and write policymaker booklet;	06/30/94	/ /
		≡ Publish booklet and technical document;	08/30/95	/ /
		≡ Mission to Burkina Faso, Niger, Mali & Senegal to identify sociologists;	04/30/94	/ /
		≡ Conduct focus group and informant interview workshop;	05/30/94	/ /
		≡ Collect & analyze data in Burkina Faso, Niger, and Mali;	07/15/94	/ /
		≡ Visit Senegal to conduct FG workshop; initiate study;	07/30/94	/ /
		≡ Collect & analyze data in Senegal;	09/01/94	/ /

Performance Measurement Plan Report

Activity: 9S2

Theme: Population/Family Planning

Title: Tendencies and Determinants of Modern  
Contraception and Reproductive Health Behavior in  
Adolescents

Goal: To help establish and revise family planning and reproductive  
health policies and programs targeting adolescents by identifying  
and disseminating the behavior determinants and service barriers.

Started: 05/07/94

End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
		≡ Reassemble sociologists in Bamako for workshop to share findings; draft reports.	08/15/94	/ /
		≡ Prepare summary rpt.; identify conclusions & policy & prog. recommend.	08/15/94	/ /
	» 1 workshop on statistical analysis (6 participants)	≡ Initial data collection in 6 countries; selection of local demographers/stats.	06/15/94	/ /
		≡ Develop analysis questionnaire; send to in-country demographers	08/15/94	/ /
		≡ Prepare stat. tables & notes on methodologies; sources, & qual. of exist. data	07/30/94	/ /
		≡ Prepare stat. framework & estimates of multivariant	09/30/94	/ /

HHRAA PM & E System

Performance Measurement Plan Report

Activity: 9S2  
 Theme: Population/Family Planning  
 Title: Tendencies and Determinants of Modern  
 Contraception and Reproductive Health Behavior in  
 Adolescents  
 Goal: To help establish and revise family planning and reproductive  
 health policies and programs targeting adolescents by identifying  
 and disseminating the behavior determinants and service barriers.  
 Started: 05/07/94 End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
		regression coefficients		
		≡ Conduct workshop on statistical analysis	01/15/95	/ /
		≡ Conduct multisect. sem. to review stdy. results, ident. pol. & prog. impl.& dev.	02/15/95	/ /
		≡ Write and edit technical research report.	03/30/95	/ /
		≡ Design and write policymaker booklet	06/30/95	/ /
		≡ Publish booklet and technical document	08/30/95	/ /
		≡ Mission to make initial contacts and to identify sociologists	04/30/94	/ /
		≡ Prepare & conduct focus group & informant interview workshop; complete FG guide.	05/30/94	/ /

Performance Measurement Plan Report

Activity: 9S2  
 Theme: Population/Family Planning  
 Title: Tendencies and Determinants of Modern  
 Contraception and Reproductive Health Behavior in  
 Adolescents  
 Goal: To help establish and revise family planning and reproductive  
 health policies and programs targeting adolescents by identifying  
 and disseminating the behavior determinants and service barriers.  
 Started: 05/07/94 End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
		≡ Collect and analyze data in Burkina Faso, Niger, and Mali.	05/30/94	/ /
		≡ Visit to Senegal to conduct Focus Group Workshop; initiate study	07/15/94	/ /
		≡ Collect and analyze data in Senegal	07/15/94	/ /
		≡ Reassemble sociologists in Bamako for workhop to share findings & collect rpts.	08/30/94	/ /
	» 1 multisectoral seminar to discuss study results, identify policy & program impl		/ /	/ /
	» Focus group guide and key informant interview questionnaires.		/ /	/ /
	» Indepth analysis of focus group & informant interview results from 4 countries w		/ /	/ /

HHRAA PM & E System

Performance Measurement Plan Report

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 Adolescents  
 Goal: To help establish and revise family planning and reproductive  
 health policies and programs targeting adolescents by identifying  
 and disseminating the behavior determinants and service barriers.  
 Started: 05/07/94 End Date: 08/31/95

Purpose(s)	OutPut(s)	Critical Step(s)	Planned	Actual
	» A statistical framework for data analysis		/ /	/ /
	» A technical document summarizing quantitative and qualitative research data gath		/ /	/ /
	» Summary booklet of findings and policy/prog. implications written for policymake		/ /	/ /
	» Published summary of qualitative findings for submission to a professional journ		/ /	/ /
► Qualitative data gathering through the use of focus group exercises and key informant interviews.			/ /	/ /

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**DRAFT**

# **HHRAA EVALUATION PLAN**

**1994-95**

**TABLE OF CONTENTS**

**I. Background**

**II. Purpose/Conceptual Framework**

**A. Rapid, Low-Cost Evaluations**

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**V. Annexes:**

**a) Rapid Evaluation Action Plans and Questionnaires**

**b) Criteria for Rapid Evaluations and Case Studies**

**I. Background.** During the past year, HHRAA managers have worked to establish the HHRAA Performance Measurement and Evaluation System. The system' purpose is to provide information about HHRAA research activities in order to enhance use of the research in -- and hence impact on -- policies and programs. The system is described in greater detail in *HHRAA Performance Measurement and Evaluation System: Overview* (March 1994). Very briefly, products of the system include:

- **Activity Data Sheets and Performance Measurement and Evaluation Plans.** The contractor for each HHRAA-funded research activity prepares an Activity Data Sheet and Performance Measurement and Evaluation Plan. This information constitutes the project database. The contractor updates these documents three times per year.
- **Subsector Results Reports.** Subsector Activity Managers prepare Subsector Results Reports three times per year. These reports are intended to summarize by subsector, for HHRAA and Africa Bureau Managers, each research activity's updated Activity Data Sheet and Performance Measurement Plan. They thus provide information on research activities' planned versus actual outputs and outcomes. They also provide a vehicle for feedback to Activity Managers. This information is then summarized in the HHRAA Annual Project Results Report.
- **Rapid, Low-Cost Evaluations of HHRAA Research Activities.** Rapid assessments constitute one element in HHRAA's internal evaluation system. Their purpose is to provide information to HHRAA managers on research outputs and outcomes and whether steps are needed beyond dissemination to achieve impact. The information is intended to be used to enhance the potential for use of HHRAA research in policies and programs. This element is just getting underway and is discussed in greater detail below.
- **Case-Studies of HHRAA Research Activities.** Case studies using rapid assessment methods will be undertaken to provide more in-depth information on advocacy-related outcomes of HHRAA research activities. They will provide information on HHRAA research's potential for influencing the policy process and ultimately achieving impact on policies and programs. Planning for this element will get underway in 1995.

In June, HHRAA sent to all contractors a letter outlining their monitoring, evaluation and reporting responsibilities under HHRAA (Annex---). Thus by ---- (date), all HHRAA activities should have in place (a) an up-to-date Activity Data Sheet; (b) a Performance Measurement Plan, by which planned versus actual outputs can be monitored on a regular basis; and (c) Rapid, Low-Cost Evaluation Plans.

**II. Purpose** This plan (HHRAA 1994-95 Evaluation Plan) identifies the internal HHRAA

rapid assessments and case studies that will be undertaken to examine the potential of HHRAA research for impact on policies and programs. It is based on the conceptual framework identified in *Figure 1, Conceptual Framework for Evaluating the Policy Process: Outputs, Outcomes and Impact*.

Recent studies have pointed out that the availability of new knowledge, by itself, is unlikely to contribute to policy or programmatic change.<sup>1</sup> These studies contend that new research findings are more likely to be used within a broader context and long-term process of agenda setting, advocacy and policy learning. And to achieve use of new research in policies and programs, understanding the political context of proposed reforms is critical. As a recent evaluation of the International Monetary Fund (IMF), World Bank, and USAID's policy reform program observed, "there has been a marked tendency to concentrate less attention on social, institutional, and political analyses. Yet... all reform programs are inherently political and require an understanding of social realities and institutional norms and workings before they can be negotiated and implemented successfully."<sup>2</sup> In sum, these studies emphasize that policy reform must be thought of as a complex, educational and lengthy process, rather than as a foregone conclusion due to the availability of new technical knowledge.

Accordingly, the HHRAA evaluation plan attempts to incorporate these considerations into the internal HHRAA learning process. It aims to do this through: A. Rapid, Low-Cost Evaluations; B. Case Studies; and C. Action Plans.

#### **A. Rapid, Low-Cost (RLC) Evaluations**

The HHRAA 1994-95 evaluation plan includes 12<sup>7</sup> rapid assessments of HHRAA-funded research. As shown in the lower left-hand side of Figure 1, their purpose is to provide information to HHRAA managers on outputs, intermediate outcomes and the research activity's potential for impact. The information is intended to be used to enhance the potential for use of the research in policies and programs. Specifically, the rapid assessments will attempt to answer questions like the following:

- Are the technical aspects of the research understood? Is there a need for technical

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<sup>1</sup> Robert W. Porter, with Irvin Hicks, *Knowledge Utilization and the Process of Policy Formation: Towards a Framework for Africa*, Porter/Novelli, Final Draft, July, 1994; and Luis Crouch et al., *Success in Policy Reform Through Policy Dialogue* (Research Triangle Park, NC: Center for International Development Staff Working Paper, January, 1993)

<sup>2</sup>Patricia Vondal, *Operational Issues in Developing A.I.D. Policy Reform Programs* (Washington, DC; Center for Development Information and Evaluation, U.S. Agency for International Development; A.I.D. Program Evaluation Discussion Paper No. 28), p.12.

clarification?

- Have research findings been disseminated to the appropriate groups? Is there a need for additional dissemination activities?
- Is there a need for activities that go *beyond dissemination*, in order to enhance policy learning and impact? What are the principal obstacles to use of the research? Is there a need for greater advocacy? Is there any way that these obstacles can be addressed within the context of HHRAA? If not, what, if anything, can or should be done?

In sum, the rapid assessments will be designed to provide information, relatively quickly, on whether HHRAA-funded research is being used in programs and policies, *and whether additional agenda setting, advocacy, policy learning or dissemination strategies should be employed.*

With answers to these questions, HHRAA managers may be able to followup and enhance the potential for use of the research in policies and programs. The point is to have a mechanism within the project that provides information quickly to managers and allows them to improve and refine their work as it is implemented, without waiting for a mid-term or a final project evaluation, at which time it may be too late to make changes to achieve results.

For HHRAA purposes, an RLC evaluation is defined as a discreet analytic activity completed within approximately one month. A HHRAA research activity evaluation may involve a series of RLC evaluations conducted over the life of the research activity. The actual work involved in conducting the evaluation may not take an entire month -- possibly only five to ten days. For example, a questionnaire might be faxed to the field and three weeks later the responses are analyzed and prepared as a short report. For HHRAA purposes, low-cost is defined as 3-5 percent of the research activity budget, or less. Many RLC evaluations conducted under HHRAA will be "free" meaning no additional costs will be involved other than opportunity or HHRAA/contractor or staff-time costs. Illustrative indicators and rapid methodologies are presented in Figure 2.

Section ---- of this plan identifies the rapid assessments that HHRAA managers will undertake in 1994-95 . Action Plans for the 1994 rapid assessments, as well as the questionnaires that will be used , are included in Annex ---. Criteria for selecting HHRAA activities for rapid evaluation or for future case studies are included Annex-----

## B. Case Studies

The internal HHRAA evaluation system will also include a series of case studies. The purpose of the case studies will be to examine in-depth the impact or potential for impact of HHRAA-funded research on policies and programs in Africa, *with a special focus on*

*advocacy-related outcomes and the policy learning process.*

The case studies will be planned to examine use of HHRAA research within a broader conceptual framework, as depicted in Figure 1. They will focus on outcomes that are needed to ultimately achieve impact. For example, they may point to the need for building more extensive advocacy coalitions, educating policymakers or explaining technical findings to stakeholders. Accordingly, the studies may be undertaken while the research is being conducted, or shortly after its completion.

HHRAA has not yet planned any case studies. Planning for these studies will begin in early 1995. The studies will require additional funding (i.e., for supporting a team of 2-3 in the field for two-four weeks). Criteria to be used to select HHRAA research activities as case studies are listed in ANNEX --. A combination of rapid assessment methods will be used to carry out the case studies. Illustrative case study questions are set forth in Box 1<sup>3</sup>.

### **BOX 1**

#### *Illustrative Questions for HHRAA Case Studies of Advocacy-Related Outcomes*

---

#### **I. The Research Process**

1. *To what extent is there African "ownership" of the research?*
2. *How extensive is African "ownership"?*
3. *What was the process by which African "ownership" of the research is being/has been fostered?*
4. *Have the research findings been "requested" by Africans in-country?*
5. *Are Africans informed of research findings as the research is implemented?*

#### **II. Agenda Setting**

##### **A. Images and Understandings**

1. Is the research relevant to a variety of stakeholders?
2. Does the research address a compelling problem?
3. Is the problem that the research addresses high on the list of in-country priorities? (as

evidence  
d in  
planning  
, policy  
docume  
nts, the  
media,  
statemen  
ts of

---

<sup>3</sup> The draft framework, as well as many of the questions, have been adapted from Porter, 1994., Crouch and Vondal

leaders  
etc.)

4. Should the problem that the research addresses be broadened or narrowed?
5. Does the problem that the research addresses have a broader political appeal? If so, how, why and with what groups?
6. Is the problem being explained accurately to non-expert publics?
7. Are the various "images " of the problem that the research addresses being presented to the appropriate stakeholders --- e.g., the cost implications to the Ministry of Finance and the technical and administrative implications to the Ministry of Health?

### ***B. Institutional Venues***

1. Is there currently a "policy monopoly" with respect to the problem that the research addresses? By what groups?
2. Is there a need to bring more institutions into the debate and the education process? Which ones? How might this be done?

### ***C. Policy Learning***

1. What kind of dissemination strategies were used to inform indigenous groups and key decisionmakers of research findings? Were these strategies adequate? What else could have been done?
2. Were the technical data accurately understood?
3. Have experts or the media transformed the technical data into political or social facts that are understood by the public?
4. Are there local capabilities for informed policy debate and advocacy? Should HHRAA do something else to help build local capabilities?

## ***III. Advocacy Coalitions***

### ***A. Stakeholders/NGOs***

1. Does HHRAA know who the various stakeholders are that are working on or interested in the problem that HHRAA research addresses?
2. Who, if anyone, speaks for the interests of these stakeholders in or out of government?
3. Will stakeholders and NGOs be able to be involved in greater advocacy for the issues? What might be needed to support greater advocacy? Training? Technical assistance?

**B. Media**

1. Have the problems that the research addresses and research findings been the subject of media attention?  
Television? Radio? Press?
2. Should anything be done to ensure greater media attention?
3. Have events related to the research been planned in such a ways as to ensure media coverage?

**C. Policy Entrepreneurs**

1. To what extent do there exist "policy entrepreneurs" (those with expertise, the leader of an interest group etc) who will speak for and press for consideration of the issue?
2. Are these individuals sufficiently knowledgeable? Are they proactive?

**IV. The Socioeconomic, Political and Cultural Context**

1. To what extent do socioeconomic, political and cultural realities present obstacles to consideration and use of the research?
  2. Can these obstacles be realistically addressed in any way by HHRAA? By USAID?
  3. Can or should anything else be done to ensure that the research findings are given full consideration by interested groups and individuals?
- 

**III. Using the HHRAA Internal Evaluation System To Enhance Advocacy, Policy Learning, and Impact**

The HHRAA internal evaluation system can be used to enhance advocacy and impact in the following ways:

- **Information on Whether Steps Beyond Dissemination are Needed.** Rapid evaluations can provide information on whether steps are needed beyond dissemination to enhance advocacy and policy learning (See Box A and B, Figure 1).
- **Information on the Status of Outcomes Related to Advocacy.** Case studies undertaken for major research activities while the research is underway can provide information *on important outcomes that are necessary to achieve impact* -- the extent of African ownership of the research, agenda setting, images of the problem the research addresses, advocacy coalitions, the political and cultural context, potential policy entrepreneurs, the extent of policy learning and potential windows of

opportunities for use of the research. Case studies can also provide information on impact (see Boxes B and C, Figure 1).

- **Use of the Information to Prepare Action Plans to Enhance Advocacy.** After completion of a rapid evaluation or case study, HHRAA managers will consider whether an action or strategic plan to enhance policy learning is called for. For example, if the case study found
  - policymakers failed to understand the technical aspects of the research
  - advocacy groups were aware of only some of the research findings, and/or
  - the research findings had been inaccurately presented by the media,

HHRAA managers might want to develop an action plan to address these issues. The plan might include specific objectives to enhance advocacy, and ultimately impact on policies and programs (See Box D, Figure 1).

#### **IV. Next Steps to Use the Internal HHRAA Evaluation Process to Enhance Advocacy, Policy Learning and Impact**

HHRAA will undertake the following steps to continue to implement the HHRAA evaluation system, and to use the system to enhance use of HHRAA research in policies and programs.

**1. Review HHRAA Project Database/Prepare Comprehensive Evaluation Plan.** Review contractor Activity Data Sheets, Performance Measurement and Rapid Evaluation Plans, to ensure that all contractors have prepared these documents, and that they provide the information called for. Prepare a comprehensive HHRAA Evaluation Plan based on the review.

**2. Prepare Action Plans for 1995 Rapid, Low-Cost Evaluations.** Request Activity Managers and contractors to prepare Rapid, Low-Cost Evaluation Action Plans for the RLC evaluations identified in this plan and planned for 1995.

**3. Review the Rapid, Low-Cost Evaluations Completed to date/Determine the Need for Action Plans for Advocacy.** Based on each evaluation's findings, determine the need to

prepare action/strategic plans to enhance advocacy and use of the research in policies and programs. Determine whether funds to support enhanced advocacy can be provided through HHRAA or will need to be provided through linkages with other support mechanisms. Prepare plans that set forth specific objectives to enhance advocacy/use and include a budget to support the achievement of objectives.

**4. Plan and Carry Out 1-2 Case Studies in 1995.** Based in part on the criteria listed at the end of this plan (e.g., magnitude/funding level of the research activity, ) select 1-2 key research activities scheduled for completion in the near future and plan 1-2 case studies of these activities for 1995. Assuming the findings suggest the need for greater advocacy, the information from these case studies should then be used to develop an action/strategic plan to achieve this objective.

Annex ---

#### Criteria for Selecting Activities for Evaluation

Maturity

Magnitude of Activity/Budget

Cost of Evaluation

Geographic Orientation

Subsector

Degree of African Participation

Success/On Track - Problem Children

Linkage to Other Projects

Relevance to DFA/HHRAA Objectives

Technical Assistance

Evaluation Plan

**IV. Listing of Scheduled HHRAA Rapid, Low-Cost Evaluations for 1994-95 (DRAFT - NOT YET COMPLETE)**

**1994**

**RLC EVALUATIONS**

**DATES CONDUCTED**

**REPORT AVAILABLE**

1. Family Planning/Child Survival: Commodity Logistics Module Software (Mary Harvey)	Sept-Oct	November
2. Child Survival: (tentative) Integrated Case Mgt of the Sick Child (Phyllis Gestrin/Lisa Lee)(need to discuss with Lee when she returns -22nd Aug.)	October?	November?
3. Health Financing: (tentative) Private Sector/Zambia (Abe, Hope, Subhi need to discuss)	September-October?	November?
4. Education (tentative) Follow-up of Ed. Conference- How has the conference changed how Missions do policy dialogue in education? Will look at intermediate outcomes. Karen Tietjen	September- October?	October?
5. Education (tentative) Followup on Swaziland Wkshop on Qualitative Research, Karen Tietjen (more info after Julie meets with education people next week)	?	?

6. Process Issues: Lessons Learned --About the Processes for Designing, Implementing and Reviewing Research - to Improve Impact in the Future (this wd be written for or as a result of the September CA Conference) Alex Ross	September?	October?
7. Tropical and Infectious Disease: Need to discuss further with Alex Ross- followup to Social Behavioral Aspects of HIV		
8. Tropical and Infectious Disease: WHO Institutional Strengthening Grant, Jean Paul Clark, Jean Paul to review in Geneva in September?	September?	November?
9. Family Planning: Followup of Urban Family Planning Wkshops in Africa, Lenny Kangas, Center for African Studies will prepare and analyze questionnaire	September-October	November?
10. Discuss with Alex and Jean Paul the possibility of their doing a RLC eval in Uganda	Late September?	Early Novemeber?

**1994? SARA RAPID EVALS (not sure if this is the final list)**

**RLC EVAL**

**DATES CONDUCTED**

**REPORT AVAILABLE**

1. APAC Documents, Rhonda/PRB		
2. Med Barriers Conference, Lynne Gaffiken		November?
3. APHA Wkshop, Judy Brace		November?
4. Abortion Monograph, Lynne Gaffiken	October?	November?
5. Adolescent Fertility Study, Lynne Gaffiken		
6. ECSA Dissemination, Judy Brace		
More were listed but still appeared tentative, need to discuss with Lynne Gaffiken when she returns from Kenya in 10days.		

<p>1. Education, Lessons Learned Paper: Lessons About Program Design in Education/How to Structure a Participatory Design Process/A look at Results of HRA Work in Education Karen Tietjen (more info after Julie meets with ed people next week)</p>	<p>Jan-April, 1995?</p>	<p>June, 1995?</p>
<p>2. Tropical and Infectious Disease: Private Sector AIDS Policy, Evaluation of Prototype Materials, Video, Presentation, Views of Managers, John Paul Clark, Eval unit at AIDSCAP</p>	<p>Jan-March 1995</p>	<p>June 1995</p>
<p>3. Family Planning, Followup of Urban Family Planning conference in Nairobi, Lenny Kangas, (Center for African Studies will prepare and administer questionnaire)</p>	<p>Jan-Feb?</p>	<p>Jan-Feb?</p>
<p>4. Family Planning/Child Survival: Commodity Logistics Module Software, Analysis of Second Questionnaire after 6-8 months of use, Report on Impact of CLMS in Africa</p>	<p>June, 1995</p>	<p>September, 1994</p>



Family Planning/Child Survival	Commodity Logistics Module Software	\$92,000; To produce software to support fp logistics	To examine the extent to which the software has improved logistics mgt and is being used in Africa	Mary Harvey/ Mary Harvey	No additional funding required	Questionnaire to be administered after (a) Sept. 25 Conference ; (b) 6-8 months use of the software	(a)October 1994; (b) June 1995
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## II. NEXT STEPS (will fix up columns below in final draft)

ACTIONS	ACTOR(S)	DATE
1. Refine questionnaire	Mary Harvey/MSH	Aug 13,
2. Send questionnaire to field/request responses by September	"	Sept 7
3. Tabulation/analysis of responses	Mary Harvey	Sept 25
4. Discussion of analysis with respondents at conference	Mary Harvey	Sept 25/6
5. Preparation of 1st Eval Report	Mary Harvey	October 15
6. Preparation/Sending of Followup Questionnaire to Field Participants (Senegal, Nigeria, others)	MaryHarvey/MSH	June '95
7. Analysis of 2nd Questionnaire and Preparation of Eval Report on the Impact of Commodity Logistics Software in Africa	Mary Harvey	Sept 95 September '95

**HHRAA Rapid, Low-Cost Evaluation Plan  
1994  
10/12/94**

Themes	Activity Title	Activity Manager	Dates Conducted	Report Available
Family Planning	Urban Family Planning Workshop in Africa	Lenni Kangas	Sep-Oct	November
Family Planning/ Child Survival	Commodity Logistics Module Software	Mary Harvey	Sep-Oct	November
Child Survival	Integrated Case Management of the Sick Child	Phyllis Gestrin	Oct	November
Health Financing	Private Sector Study in Zambia	Abe Bekele/ Hope Sukin	Sep-Oct	November
Tropical and Infectious Diseases	Social and Behavioral Aspects of HIV/AIDS: Dissemination Approaches for NAS Report	Alex Ross	Sept-Oct	November
Tropical and Infectious Diseases	The Economic Impact of Adult Death (Tanzania)	Bill Lyerly	December	December
Tropical and Infectious Diseases	WHO Institutional Strengthening Grant: Malaria	John Paul Clark	September	November

**HHRAA Rapid, Low-Cost Evaluation Plan  
1995**

<b>Themes</b>	<b>Activity Title</b>	<b>Activity Manager</b>	<b>Dates Conducted</b>	<b>Report Available</b>
Family Planning	Follow-Up of Urban Family Planning Conference in Kenya	Lenni Kangas	Jan-Feb	February
Family Planning/ Child Survival	Commodity Logistics Module Software: Analysis of Second Questionnaire after 6-8 Months Use	Mary Harvey	June	September
Tropical and Infectious Diseases	Private Sector AIDS Policy, Evaluation of Prototype Materials, Video Presentations, Views of Managers	John Paul Clark	Jan-Feb	February
Cross-Cutting	Review of the Relationship of Research to Policy and Strategies: Lessons from HHRAA	Alex Ross	March	May

**HHRAA Rapid, Low-Cost Evaluation Plan**  
**1994**  
10/12/94

Themes	Activity Title	Activity Manager	Dates Conducted	Report Available
Family Planning	Urban Family Planning Workshop in Africa	Lenni Kangas	Sep-Oct	November
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Tropical and Infectious Diseases	Social and Behavioral Aspects of HIV/AIDS: Dissemination Approaches for NAS Report	Alex Ross	Sept-Oct	November
Tropical and Infectious Diseases	The Economic Impact of Adult Death (Tanzania)	Bill Lyerly	December	December
Tropical and Infectious Diseases	WHO Institutional Strengthening Grant: Malaria	John Paul Clark	September	November

**HHRAA Rapid, Low-Cost Evaluation Plan  
1995**

Themes	Activity Title	Activity Manager	Dates Conducted	Report Available
Family Planning	Follow-Up of Urban Family Planning Conference in Kenya	Lenni Kangas	Jan-Feb	February
Family Planning/ Child Survival	Commodity Logistics Module Software: Analysis of Second Questionnaire after 6-8 Months Use	Mary Harvey	June	September
Tropical and Infectious Diseases	Private Sector AIDS Policy, Evaluation of Prototype Materials, Video Presentations, Views of Managers	John Paul Clark	Jan-Feb	February
Cross-Cutting	Review of the Relationship of Research to Policy and Strategies: Lessons from HHRAA	Alex Ross	March	May



## Glossary

ADS	Activity Data Sheets
AFR/SD/HRD	Bureau for Africa, Office of Sustainable Development, Human Resources and Democracy Division
APAC	Africa Population Advisory Committee
CAFS	Center for African Family Studies
CDC	Centers for Disease Control
CERPOD	Centre d'Etude et Recherche en Population et Developement
CLM	Commodities and Logistics Management
CIHI	Center for International Health Information
CRHCS/ECSA	Commonwealth Regional Health Community Secretariat for East, Central and Southern Africa
DFA	Development Fund for Africa
DHS	Demographic and Health Surveys Project implemented by Macro, International
E-Note	Informal 1-2 page e-mail updates for USAID missions on various HHRAA analytical activities
ERNWACA	Education Research Network for West and Central Africa
G Bureau	Bureau for Global Programs, Field Support and Research
IEQ	Improving Education Quality Project implemented by the Institute for International Research (IIR)
OIH	Office of International Health
MSH	Management Sciences for Health

PASA	Participating Agencies Services Agreement
PMP	Performance Monitoring Plan
PMES	Performance Monitoring and Evaluation System
RLC	Rapid Low-Cost Evaluation
RSSA	Resources Support Service Agreement
RTA	Resident Technical Advisor
STDs	Sexually Transmitted Diseases
TAACS	Technical Advisor for AIDS and Child Survival

Draft  
**Health and Human Resources Analysis for Africa Project**  
**HHRAA**

*Analytical Activities*

November 9, 1994

Activities	HHRAA Manager	Implementing Agency	Prime Implementing Contact	Status
<b>Child Survival</b>				
CCCD Country Specific Studies of HPN Behavior Change	HSukin	CDC	Jean Roy	Completed
How Can We Improve Infant Feeding Practices Through Health and Family Planning Programs?	HSukin	Wellstart	Kathy Krasovec	Ongoing
Defining Issues & Solutions in the Integrated Case Management of Sick Child in Health Facilities & Communities	PGestrin	CDC	Lisa Lee	Ongoing
Commodities and Logistics Management	MHarvey	FPMD Proj	Joyce Goodman	Completed
Cost-Effective and Sustainable Response to Cholera and Epidemic Dysentery	MHarvey	CDC	Alan Reis	Ongoing
DHS Comparative Analysis of HPN Results in Africa	HSukin	SARA/Macro	Shea Rutstein	Ongoing
Strengthening EPI Surveillance	MHarvey	WHO/AFRO	Okwo Bele	Ongoing
Africa Health Situation Analysis	SMehdi	CIHI	Roy Miller	Ongoing
<b>Health Economics and Financing</b>				
<i>Private Health Sector</i> The Role of the Private Health Sector in Africa (4 country case studies)	ABekele	DDM, HFS	Peter Berman (DDM) Gerry Wein (HFS)	Ongoing
<i>Health Care Financing and Sustainability</i> <i>A. Synthesis:</i> The Role of NPA in Health Policy Reform	ABekele	HFS	Gerry Wein	Ongoing
Quality of Care and Service Utilization	ABekele	HFS	Gerry Wein	Ongoing
Synthesis of Health Care Financing Experience in Africa	ABekele	HFS	Gerry Wein	Ongoing
Policy Brief on Health Care Financing	ABekele	HFS	Gerry Wein	Ongoing
<i>B. Case Studies and Operational Guidelines</i> Autonomous Organizations of Hospitals	ABekele	DDM	Peter Berman	Ongoing

Activities	HHRAA Manager	Implementing Agency	Implementing Agency Contact	Status
Means-Testing for Equitable Access to Quality Care	ABekele	BASICS	J.J. Frere	Ongoing
Implementation of Resource Mobilization Schemes	ABekele	DDM	Peter Berman	Ongoing
<b>Other Health</b>				
What are the Consequences of and Most Appropriate Strategies for Decentralization in the Health Sector	ARoss	WHO/SHS	Katja Janovsky	Ongoing
<b>Population/Family Planning</b>				
Comparative Analysis of Urban Population Programs	LKangas	John Snow	Carolyn Vogel	Ongoing
Analysis of Vertical and Integrated Family Planning Services Delivery	BHaladay	Evaluation Project	Amy Tsui	Ongoing
Promoting Adolescent Reproductive Health	PGestrin	AIDSCAP/PSI	Judith Timyan	Ongoing
Data Analysis of Adolescent Fertility from DHS	BHaladay	SARA/Macro/PRB /CERPOD	Ann Way (Macro) Rhonda Smith (PRB)	Completed
What Have We Learned About Community Based Distribution of Contraceptives?	BHaladay	Pop Council	James Philips	Completed
Assessing Population Dynamics in SSA	BHaladay	NAS	Barney Cohen	Completed
Tendencies & Determinants of Modern Contraception & Reproductive Health Behavior in Adolescents	PGestrin	SARA/PRB/ CERPOD	Rhonda Smith	Ongoing
Monograph on Prevalence & Consequences of Unsafe Abortion	PGestrin	SARA/CRHCS	Lynne Gafiken	Ongoing
Integration of MCH and FP with STD/HIV Prevention and Control	LKangas BLyerly	Pop.Council, DDM, CAFS	Robert Miller (POP) Julia Walsh (DDM) Ndugga Maggwa (CAFS)	Ongoing

Activities	HHRAA Manager	Implementing Agency	Implementing Agency Contact	Status
<b>Tropical and Infectious Diseases</b>				
Evaluation of C&T as a Potentially Effective Intervention for the Control of HIV in Africa	HDavis	CDC	Deborah McFarland, Melinda Moore	Ongoing
Model Program at the Community Level for Controlling Sexually-Transmitted Diseases	HDavis	CDC	John Moran	Ongoing
Validation of HIV/AIDS Program Performance Indicators (PPI) in Africa	BLyerly	AIDSCAP/WHO	Paul Delay (G/PHN/HN/AIDS)	Completed
Private Sector AIDS Policy Presentation	JPClark	AIDSCAP	Mathew Roberts	Ongoing
HIV/AIDS and STD Surveillance Databases for Africa	BLyerly	BUCEN	Karen Stanecki, Peter Way	Ongoing
Socio-Behavioral Aspects of AIDS in Sub-Saharan Africa	ARoss	DDM/NAS	Barney Cohen	Ongoing
Malaria - High Impact Strategy Development	JPClark	CDC	Trent Ruebush	Completed
Malaria Research and Training Center	ARoss	NIH	Robert Gwadz	Ongoing
Household Level Malaria Prevention, Diagnosis and Treatment	JPClark	WHO/TDR	Melba Gomez	Ongoing
Malaria Strategy Development	JPClark	VBC/EHP	Pandu Wijeyaratne	Ongoing
Tuberculosis: High Impact Strategy Development	HDavis	CDC	Nancy Binkin	Ongoing
Tuberculosis: Emerging Microbes	HDavis	NIH	Kate Aultman	Completed
Macro-Economic Impact of Tuberculosis in Sub-Saharan Africa	HDavis	DDM	Chris Murray	Ongoing
Cost of Tuberculosis Treatment to Households & Health Facilities & Its Implications for Providing Health Care	HDavis	WHO	Paul Nunn	Ongoing
Estimation of the Annual Number of Tuberculosis Cases in Sub-Saharan Africa Due to HIV Infections	HDavis	UCSF	James Chin	Ongoing
Cost-Effective. of TB-Control Interven. Among HIV-Infected Persons: Short-Course Chemotherapy vs. Chemoprophylaxis	HDavis	DDM	Chris Murray	Ongoing

Activities	HHRAA Manager	Implementing Agency	Implementing Agency Contact	Status
Strengthening Regional Capacity for Malaria Control	JPClark	WHO/AFRO	Deogracias Barakamfitye, El Hadi Benzannoug	Ongoing
Support for Regional Capacity Building-Malaria (CDC-WHO/AFRO Support)	JPClark	CDC	Jean Roy	Ongoing
Economic Impact of Fatal Adult Illness Due to HIV/AIDS and Other Causes	JPClark	World Bank	Mead Over	Ongoing
Integration of MCH/FP with STD/HIV Prevention	HDavis	CDC	Trent McKay	Ongoing
<b>Basic Education</b>				
<i>Technical Assistance Support to Education Programs</i> Design Support for Ethiopia PAAD	JDeStafano			Completed
Strategic Planning for Basic Education in Benin	AHartwell			Ongoing
Design Support for Amendment of Basic Education Program in Guinea	KTietjen, JDeStafano			Ongoing
Design Support for Amendment of Basic Education Program in Namibia	JWolf			Completed
<i>Training/Dissemination</i> Kadoma Workshop/Supporting Policy Reform in Education Sector	AHartwell			Completed
Swaziland Workshop/Capacity Building for Qualitative Research	DProuty			Completed
ERNWACA Workshop/Capacity Building for Education Research	AHartwell	SARA	Jean DeHasse	Ongoing
Assessment Workshop/Capacity Building for Examination Reform	AHartwell	SARA	Jean DeHasse	Ongoing
State of the Art Presentation/Dissemination Lessons Learned NPA for Senior Africa Bureau Staff	JRea			Ongoing

Activities	HHRAA Manager	Implementing Agency	Implementing Agency Contact	Status
CIES Presentation/Dissemination Lessons Learned NPA U.S. and International Academic Communities	AHartwell			Completed
SPA Presentation/Dissemination Lessons Learned NPA Other Donors	JRea			Completed
<i>Institution Building</i> Institution Building/ERNWACA Secretariat	AHartwell	SARA	Jean DeHasse	Ongoing
Support to DAE (mid-term evaluation, support for database)	AHartwell, GHummon			Ongoing
Support to Association for Educational Assessment in Africa	AHartwell			
<i>Cross-Sectoral Work</i> GREENCOM	JRea			Ongoing
<i>Analysis products</i> Study of Education Policy	AHartwell			Ongoing
Curriculum Study	DProuty			Completed
Equity Study	JWolf			Completed
NPA Study	JWilliams			Ongoing

## ACRONYMS for Implementing Agencies

AIDSCAP	AIDS Technical Support Project (G*)
BUCEN	Bureau of the Census
CDC	Centers for Disease Control
CIHI	Center for International Health Information (G)
CERPOD	Centre d'Etude et Recherche en Population et Developement
CRHCS	Commonwealth Regional Health Secretariat
DAE	Donors for African Education
DDM	Data for Decision-Making Project/Harvard (G)
EHP	Environmental Health Project (G)
Evaluation Proj	Univ. of Nort Carolina (G)
FPMD	Family Planning Management Development/Management Sciences for Health (G)
HFS	Health Financing and Sustainability Proj (G)
JHU	Johns Hopkins University
NAS	National Academy of Sciences (G)
NIH	National Institutes of Health
PSI	Population Services International (G)
PRB	Population Reference Bureau
UCSF	University of California, San Francisco
WHO/AFRO	World Health Organization/Africa Regional Office
WHO/SHS	World Health Organization/Strengthening Health Services Division

\* denotes Global Bureau Project



**HHRAA Activities by Subsector and Country**  
11/30/94

Country	Education	Population/FP	Tropical & Infectious Diseases	Child Survival	Cross-Cutting
AFRO			•Malaria Capacity Bldg	•EPI**	
Benin	•Project Design	•Vert/Integ FP Org Study	•AIDS Counsel.Assess*		
Botswana	•Technical Support	•Adolescent Fertility •Integ of MCH/FP with STD/AIDS	•Eval. of TB Prob/Prog	•EPI Disease Surveillance Workshop	•Dissemination Assessment
Burkina Faso			•AIDS Counsel.Assess*		
Cote d'Ivoire		•Vert/Integ FP Org Study			
Eritrea		•Project Design			
Ethiopia	•Project Design			•Project Design	•Project Design*
Gambia	•ERNWACA Workshop				
Ghana	•Project Design	•Project Design	•Review of Essential Drugs •STD Case Mgt Study* •Project Design*		
Guinea	•Project Design	•Vert/Integ FP Org Study	•AIDS Counsel.Assess*	•Project Design	
Kenya		•Urban Family Planning •Integ of MCH/FP with STD/AIDS	•Needs Assess of Malaria Program •AIDS-PSAPP	•Sick Child	•Health Care Finan.Study •Health Care Financing Workshop •Dissemination Assessment •APHIA Design*
Lesotho	•Technical Support				

Countries	Basic Education	Population/FP	Tropical/Infectious Diseases	Child Survival	Cross-Cutting
Liberia			•HIV/AIDS/STD Review*		
Madagascar					•Appropop. Implementation*
Mali	•Technical Support	•Adolescent Fertility •Project Design* •Vert/Integ FP Org Study	•Malaria Research & Training Center •AIDSCAP Prog. Review* •Project Design* •AIDS Counsel. Assess*		
Malawi	•Technical Support	•Unsafe Abortion Survey (ECSA)	•Needs Assessment of Malaria Prog.		•Dissemination Assessment
Mozambique					•CPSP*
Namibia	•Project Design				•Dissemination Assessment
Niger		•Adolescent Fertility			•Health Care Financing •Project Design*
Nigeria		•Project Design •Vert/Integ FP Org Study	•AIDSCAP Prog. Review*	CLM Field Testing (Dr.Nasidi, CCCD Proj)	•Commodities and Logistics Mgt.
REDSO/ESA		•Vert/Integ FP Org Study			
REDSO/WCA			•FHA-WCA AIDS Background Paper •Project Design* •Guinea Worm*		
Senegal	•Technical Support	•Adolescent Fertility	•AIDS-PSAPP •AIDSCAP Prog Review* •HIV/AIDS Assessment*	CLM Field Testing	•Hlth Financing Study •Hlth Financing Workshop*

Country	Basic Education	Population/FP	Tropical/Infectious Diseases	Child Survival	Cross-Cutting
South Africa	•Technical Support	•Adolescent Fertility •Integ of MCH/FP with STD/AIDS			•Project Design*
Sudan					•Eval. of Health/Nutrition Programs*
Swaziland	•Technical Support			•EPI Disease Surveillance Workshop	
Tanzania		•CRHCS/ECSA •Family Planning SS* •Integ of MCH/FP with STD/AIDS	•Evaluation of TB	•CRHCS/ECSA	•Health Care Finan. •Dissemination Assessment
Uganda		•Unsafe Abortion Survey (ECSA) •Integ of MCH/FP with STD/AIDS		•DHS Nutrition Data Anal. (Makerere University)	
Zambia		•Unsafe Abortion Survey (ECSA) •Project Design •Integ of MCH/FP with STD/AIDS	•Project Design		•Health Care Finan. •Dissemination Assessment
Zimbabwe		•Urban Family Planning •Medical Barriers Confe.			•Project Design* •Dissemination Assessment

\* Activities carried out by HHRAA funded Resident Technical Advisors in REDSO/ESA and REDSO/WCA

\*\* For regional activities, check with the individual managers. For example,  
 UNICEF EPI Grants: Mary Harvey  
 DHS Nutrition Data Analysis: Hope Sukin  
 AFRO Malaria: John Paul Clark

**PROPOSED Leave/Travel Schedule**  
**November - December 1994**  
 Updated 11/1/94

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	Annual Leave	TDY	Country	Purpose
Abe Bekele		11/28 - 12/2 12/4 - 12/8 12/12 - 12/16	Kenya Indonesia Philippines	HHRAA/DDM workshop Health Financing Conference Study of health financing experience
John Paul Clark	12/21 - 12/28	11/19- 11/25 11/26 - 12/1 12/2 - 12/21	Tanzania Kenya Indonesia India (?)	Bednet Cobference Bednet Study WFPHA Oral Presentation IIM Invited Paper, Health and Environment
Hal Davis		11/8 - 11/10		
Phyllis Gestrin		11/7 - 11/11 11/14 - 11/18 11/21 - 11/25	Geneva Malawi Botswana	WHO Sick Child M & E Mtgs ECSA Ministers of Health Mtg PSI Adolescent Project
Bob Haladay	11/21 - 11/25 12/27 - 1/1			
Mary Harvey		11/8 - 11/11 11/14 - 11/18	Holland South Africa	CVI WHO TGI & EPI Management Mtg
Lenni Kangas	11/25 12/27 - 12/29	11/3 - 11/6 11/9	Canada New York	Africa Studies Association Population Council
Bill Lyerly	11/21 12/19-12/30	11/12 - 11/18	Ohio	ASTMH Meeeting
Subhi Mehdi	11/25 12/27 - 12/30			
Alex Ross		11/29- 12/3 12/4 - 12/8 12/9 - 12/18	Kenya Indonesia Indonesia Philippines	DDM Workshop WPFHA Presentation Site Visit Site Visit
ope Sukin		11/14 - 11/18	South Africa	WHO TGI Mtg.

Julie Owen-Rea

Joe DeStafano

12/22 - 1/4

10/31 - 11/20

Guinea  
Buffalo, NY

PID Development

12/1

SUNY

12/14 - 12/16

France (?)

DAE workshop

Karen Tietjen

10/30 - 11/25

Guinea  
France

PID Development

DAE workshop

Diane Prouty

10/30 - 12/31

Guinea  
Kenya  
Ghana

PID Development

Ash Hartwell

November

Ghana

December

Kenya

Joy Wolf

November

Ghana

(2 weeks)

Jim Williams

10/31 - 11/3

France

DAE Workshop

11/3 - 11/6

Canada

African Studies Conference

12/1 - 12/15

Malawi

Technical Assistance

BEST AVAILABLE COPY

## **THE FILING SYSTEM**

The following pages represent an organizational description of the newly arranged HHRAA and AFR/SD/HRD files. This is the finished product of the numerous TDYs I took from the typewriter to the filing cabinets and back again.

Since we are now the Office of Sustainable Development it would be an embarrassment to the Agency, Congress, and the taxpayers of America, if this filing system deteriorated and became dysfunctional after my departure. In order to avoid such a calamity, I'm encouraging everyone to adopt the methodology and skills of what I refer to as "participatory filing."

Please look over the basic organizational structure of the files along with my ideas for sustainability and make any comments that would help streamline the system. Thanks.

## **ORGANIZATION**

The System is divided into 2 general project areas: 1) HHRAA; and  
2) AFR/SD/HR

1) HHRAA: Information is identified with a **yellow** filing label. It includes all HHRAA project materials, documents and information including:

- **General Project Information**
- **Grant Agreements, PIO/Ts, OYB Transfers**
- **Task Orders**
- **HHRAA Project Evaluation**

2) AFR/SD/HRD: Information is identified with a green label.  
(The country issues files have red labels for easy identification, but are considered part of the AFR/SD/HRD files.) It includes all materials, documents, and information relating to the Human Resource Division and includes:

- **African Health Issues**
- **AFR/SD/HRD Projects**
- **Cooperating Int'l Health Organizations**
- **General information related to the HRD division**
- **Country issues papers**
- **APIs**

The information for each of the categories is subdivided and filed into 12 filing drawers. Each drawer contains a list and a general description of its sub-categories on its front. The following is an outline of the files and a description of the types of documentation in each category.

## DRAWER #1

### HHRAA PROJECT

- **HHRAA PROJECT:** Includes HHRAA strategic framework, the project presentation and general information related to HHRAA.
- **PROJECT DESCRIPTION:** Contains the project paper and authorization.
- **REQUEST FOR PROPSAL**
- **BUDGET DOCUMENTS:** Country attribution, financing the project.
- **CONTRACT AWARD:** A.E.D.
- **ANALYTIC AGENDA:** OYB Obligations 93 & 94, R&A topics

## DRAWER #2

### HHRAA ACTIVITIES

- **OBLIGATIONS:** Fincancial obligations for HHRAA activities arranged in order by FY (92-94)
- **HHRAA FUNDING LEVELS**
- **FY 94**
  - Grant Agreements: arranged alphabetically
  - PIO/Ts: arranged numerically according to project #s
  - OYB Transfers: arranged alphabetically

- **FY 93**  
Grant Agreements  
PIO/Ts  
OYB Transfers

(FY 92 in Drawer #5)

**DRAWER #3**

**A.E.D. CONTRACT ACTIVITIES**

- **A.E.D CONTRACT ACTIVITIES:** Contract management  
SARA Project: cables, workplans
- **A.E.D. CONTRACT REPORTS**
- **A.E.D. CONTRACT ADMINISTRATIVE APPROVALS:** arranged by FY
- **A.E.D. - S.D. STAFF MEETING NOTES:** arranged by FY
- **A.E.D. TASK ORDERS 70 & UP**

**DRAWER #4**

**A.E.D CONTRACT ACTIVITIES CONT'D**

- **A.E.D. TASK ORDERS 1 - 69**

**DRAWER #5**

**HHRAA ACTIVITIES CONT'D**

- **FY 92**  
Grant Agreements  
PIO/Ts  
OYB Transfers

- **RESIDENT TECHNICAL ADVISERS (RTA's)**  
USAID/W: includes resumes and RTA reports  
REDSO/W  
REDSO/E

**DRAWER #6**

**COOPERATING INT'L HEALTH ORGANIZATIONS**  
(Reports, correspondence, and grant agreements)

- **CDC**
- **UNICEF**  
EPI Grant Agreement  
UNICEF/ARTS Meeting: May 1993  
UNICEF/ARTS Meeting: May 1994
- **WHO**  
Malari & Immun. Grant Agreement
- **WORLD BANK**

**DRAWER #7**

**AFRICAN HEALTH ISSUES**

- **BREASTFEEDING - GUINEA WORM:** This section contains an alphabetized topical listing of African health issues. Each topic contains the basic categories of **Correspondence** and **Issues Papers**, additional categories are constructed to accommodate features unique to the particular topic.

**DRAWER #8**

**AFRICAN HEALTH ISSUES CONT'D**

- **IMMUNIZATION - POP. & FAMILY PLANNING:** Same as above

DRAWER #9

**AFR/SD/HRD PROJECTS**

- **ACSI-CCCD**
- **ARCS**
- **BASICS**
- **DHS**
- **HAPSS**
- **HFS**
- **SCSP**
- **WINS**

DRAWER #10

**APIs & COUNTRY INFORMATION**

- **APIs**  
General Information  
1990  
1991  
1992  
1993  
1994
- **COUNTRY ISSUES PAPERS**  
(Project papers, ABS reports, action plans, and country strategy reports are found in the individual country boxes.)

DRAWER #11

**HHRAA PROJECT EVALUATION**

- **GENERAL INFORMATION**  
Monitoring and Evaluation
- **MIDTERM EVALUATION**  
Key questions  
Rapid-Low Cost Evaluations  
Scope of Work

- **DISSEMINATION ACTIVITIES**
  - Trip Reports
  - HHRAA Project Documents
  - SARA Project Documents

DRAWER #12

### **GENERAL INFORMATION**

- **AFR/SD/HRD**
  - Briefings
  - Budget
  - Contract file
  - Correspondence
  - CVs
  - Fellowships
  - General Information
  - Mission Close-outs
  - Performance Indicators
  - Portfolio review
  - Projects
  - Publications
  - Staff
- **AFRICA BUREAU**
  - DFA
- **USAID**
  - Budget
  - General Information
  - USAID Health Information

### **SUSTAINABILITY**

Everyone needs to contribute to the maintenance of the system, even though the new secretary--if she ever comes-- will be the chief overseer.

Two sets of four black legal-sized paper trays are set up on a table near the filing cabinets. They are labeled as follows:

**HHRAA**

- **PIO/Ts, OYB TRANSFERS, LETTER GRANTS, TASK ORDERS**
- **PROJECT EVALUATION**
- **GENERAL AND MISC. INFORMATION**
- **TO BE REFILED**

**AFR/SD/HRD**

- **COOPERATING ORGANIZATIONS AND PROJECTS**
- **HEALTH ISSUES**
- **GENERAL AND MISC. INFORMATION**
- **TO BE REFILED**