

STATISTICAL OVERVIEW OF USAID EVALUATION HOLDINGS ON THE DEXS
FOR FYs 1993-1997

Background and Method

To help determine trends in and sources of USAID evaluations, statistics were compiled of DEXS holdings for FYs 1993 through FY 1997 of the three principal types of USAID evaluation: ES/PES (Bibcode 21), Special (Bibcode 22), and Final (Bibcode 24).

An ES/PES is a USAID-prepared summary of another evaluation. In almost all cases, this other evaluation is a contracted one.

The term Special Evaluation covers several different cases. "PD" or project-level Special Evaluations are generally contracted. "PN" or program-level Special Evaluations may be either contracted or USAID-produced; CDIE evaluations are a primary example of the latter.

Final Evaluations are also of various types. The most recognizable is the Project (Program) Assistance Completion Report (PACR). This is produced by the USAID Mission, as is the formal Close-out Report. Non-PACR Final Evaluations are generally contracted. In this regard, however, two things are to be noted: (1) a fair number of non-PACRs have as author only the Mission or the Mission plus an unidentified personal author (i.e., have no contractor as institutional author), making it difficult to determine whether an evaluation was contracted or not; (2) there is an increasing number of cases in which the final evaluation of a PVO project was conducted by the grantee. In what follows, statistics are presented of DEXS's holdings for FYs 1993 through FY 1997 of the total number of ES/PESs, Special Evaluations, and Final Evaluations bearing a document date (DATEPUBF in DOCS) for that FY. Findings for Specials and Finals are disaggregated by their principal subdivisions.

Also presented is the percentage of current FY evaluations accounted for by each of the three types and subdivisions, as well as the percentage of its own category accounted for by the subdivisions. For example, the 213 PD Special Evaluations in FY 1993 represent 75% of all Special Evaluations dated FY 1993 and 40% of all evaluations of any kind dated FY 1993.

To place these evaluation holdings in context, statistics were also compiled for the total number of DEXS documents (of all kinds) having a DATEPUBF for the FY in question, followed by the number and percentage of these which are evaluations. Thus, the number of FY 1993 DEXS's documents totals 5,037 overall, of which 533 or 11% are evaluations.

Finally, statistics were compiled for the total number of documents entered into the DEXS in a given FY, as well as for (a) the number and percentage of these with a DATEPUBF for that FY, (b) the number and percentage of the latter that are evaluations, regardless of year; and (c) the number and percentage of the latter that are current FY. Thus, in FY 1993, a total of 5,325 records were entered on the DEXS, of which 1,785 of these or 34% were dated FY 1993. Of the 1,785, 489 or 9% are evaluations.

FY 1993 (10/1/92-9/30/93)

ES/PES	90 (17%)
Special	285 (53%)
	PD: 213 (75%, 40%)
	PN: 72 (25%, 14%)
Final	158 (30%)
	PACR: 70 (44%, 13%)
	Non-PACR: 88 (56%, 17%)
TOTAL	533

Total Documents having DATEPUBF for FY 1993	5,037
No. & % of the latter that are FY 93 evals	533 (11%)

Total Documents Entered in FY 1993:	5,325
No. & % of the latter with FY 93 DATEPUBF	1,785 (34%)
No. & % of the latter that are evals	489 (9%)
No. & % of the latter with FY 93 DATEPUBF	268 (55%)

FY 1994 (10/1/93-9/30/94)

ES/PES	117 (19%)
Special	318 (53%)
	PD: 221 (69%, 37%)
	PN: 96 (30%, 16%) [1 PC]
Final	166 (34%)
	PACR: 79 (48%, 13%)
	Non-PACR: 87 (52%, 14%)
TOTAL	601

Total Documents having DATEPUBF for FY 1994	4,426
No. & % of the latter that are FY 94 evals	601 (14%)

Total Documents Entered in FY 1994:	5,472
No. & % of the latter with FY 94 DATEPUBF	1,739 (32%)
No. & % of the latter that are evals	630 (12%)
No. & % of the latter with FY 94 DATEPUBF	307 (49%)

FY 1995 (10/1/94-9/30/95)

ES/PES (Bibcode 21)	67 (15%)
Special (Bibcode 22)	228 (51%)
	PD: 173 (76%, 39%)
	PN: 55 (24%, 12%)
Final (Bibcode 24)	151 (34%)
	PACR: 64 (42%, 14%)
	Non-PACR: 87 (58%, 20%)
TOTAL	446

Total Documents having DATEPUBF for FY 1995	3,434
No. & % of the latter that are FY 95 evals	446 (13%)

Total Documents Entered in FY 1995	6,083
No. & % of the latter with FY 95 DATEPUBF	1,413 (23%)
No. & % of the latter that are evals	612 (10%)
No. & % of the latter with FY 95 DATEPUBF	151 (25%)

FY 1996 (10/1/95-9/30/96)

ES/PES	46 (15%)
Special	146 (48%)
	PD: 121 (83%, 40%)
	PN: 25 (17%, 8%)
Final	111 (37%)
	PACR: 46 (41%, 15%)
	Non-PACR: 65 (59%, 21%)
TOTAL	303

Total Documents having DATEPUBF for FY 1996	2,426
No. and % the latter that are FY 96 evals	303 (12%)

Total Documents Entered in FY 1996	3,519
No. & % of the latter with FY 96 DATEPUBF	1,095 (31%)
No. & % of the latter that are evals	480 (14%)
No. & % of the latter with FY 96 DATEPUBF	198 (41%)

FY 1997 (10/1/96-9/30/97)

ES/PES	14 (8%)
Special	105 (61%)
	PD: 79 (75%, 46%)
	PN: 26 (25%, 15%)
Final	54 (31%)
	PACR: 6 (11%, 3%)
	Non-PACR: 48 (89%, 28%)
TOTAL	173

Total Documents having DATEPUBF for FY 1997 1,691
 No. & % of the latter that are FY 97 evals 173 (10%)

Total Documents Entered in FY 1997: 3,751
 No. & % of the latter with FY 97 DATEPUBF 1,016 (27%)
 No. & % of the latter that are evals 348 (9%)
 No. & % of the latter with FY 97 DATEPUBF 107 (31%)

TRENDS

1. Declining Number of Documents. In contrast to previous years, the total number of documents entered onto the DEXS fell short of the 5,000 target in each of the last two FYs (70% and 74% respectively).

2. Overall Trends in Evaluations.

(a) The percentage of current (i.e., same FY) evaluations remained relatively constant, at 10-14%, from FY 1993 through FY 1997.

(b) The number of evaluations (regardless of year) entered into the DEXS in a given FY fell to a low of 348 in FY 1997, after previous (and varying) totals of 489, 630, 612, and 480. Nonetheless, the percentage represented by evaluations remained fairly constant: 9%, 12%, 10%, 11%, 9%.

(c) Except for an modest upsurge in FY 1996, the number and percentage of current evaluations entered in a given FY seems to be declining. Only 151 and then 108 current evaluations were entered onto the DEXS in FY 1995 and FY 1997, respectively, accounting for only 25% and 31% of all evaluations entered during those FYs. By comparison, 268 and 307 current evaluations were entered in FYs 1993 and FY 1994, respectively, accounting for 55% and 49% of all evaluations entered those years.

3. Individual Evaluations Types.

(a) ES/PES. In FY 1997, the number of current ES/PESs fell from a FY 1994 high of 117 to only 14 and accounted for only 8%

of all current evaluations, after ranging from 15% to 19% for the previous 4 FYs.

(b) **Specials.** The number of current special evaluations fell to 146 and then to 105 in FYs 1996 and FY 1997, respectively, after totalling 306, 337, and 242 in the previous three FYs. On the other hand, current special evaluations consistently accounted for 50% or more of all current evaluations, reaching a high of 63% in FY 1997. PD (Project) specials -- those most likely to be contracted for -- consistently accounted for 69% or more of all specials, yet their numbers seem to be declining, falling to 146 and then 79 in FYs 1996 and FY 1997 after previous total of 213, 221, and 173.

(c) **Finals.** Although current final evaluations consistently accounted for 30% or more of all current evaluations, their number fell to 111 in FY 96 and then to 54 in FY 1997 after totalling 158, 166, 151 in the previous three years respectively. In particular, the number of PACRs declined drastically in FY 1997, sinking to only 6 after totalling 70, 79, 64, and 46 in the previous four years, respectively. Current non-PACR finals (those most likely to be contracted) declined less drastically, totalling 48 in FY 1997 after previous totals of 88, 87, 87, and 65.

4. **Overall Currency of DEXS Documents.** The currency of DEXS' documents varied, with current documents totalling 34%, 31%, 23%, 31%, and 27% of all documents entered in each of the five FYs.