

Final Report
Contract No. csd-2510
July 24, 1970

PROJECT EVALUATION AND THE PROJECT APPRAISAL REPORTING SYSTEM

VOLUME TWO
FINDINGS AND DOCUMENTATION

Submitted to the

AGENCY FOR INTERNATIONAL DEVELOPMENT

By

FRY CONSULTANTS INCORPORATED

"IF YOU DON'T KNOW WHERE YOU'RE GOING,
ANY ROAD WILL GET YOU THERE."

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VOLUME TWO: FINDINGS AND DOCUMENTATION

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CHAPTER II. OVERALL SYSTEM CONCEPTS

CHAPTER III. ACTION PLAN

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PREFACE

This final report is submitted to the Agency for International Development by Fry Consultants Incorporated, in accordance with the requirements of Contract No. A.I.D./csd-2510. This report describes the study methodology, findings, and recommendations resulting from a year-long study of the evaluation of non-capital projects.

The first volume of the report, submitted under separate cover, summarizes both the study and the recommendations.

This, the second volume of the report, presents the detailed findings and recommendations.

The third and final volume of this report contains an "implementation package" intended to assist the USAID Missions in implementing a Mission-useful evaluation process.

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CHAPTER I

OBJECTIVES, SCOPE, AND METHODOLOGY OF THE STUDY

A. STUDY OBJECTIVES

1. General

The object of this study was to improve evaluation of non-capital projects sponsored by the Agency for International Development. It was expected that the primary mechanisms for introducing needed improvements would be modifications in the Project Appraisal Report (PAR) and the related aspects of the Project Paper (PROP) and Project Implementation Plan (PIP). In fact, one of the immediate causes for authorizing the study was USAID resistance to the newly introduced Project Appraisal Report. There was some comment that the PAR was difficult to fill out (consuming too much on-site management time), was of questionable value to AID/W, and was redundant with existing USAID management practice.

On the basis of preliminary reviews of USAID comments and discussions with AID/W personnel, the study objectives were refined and presented in a detailed work plan submitted to the Agency on September 2, 1969. In order to provide a sharper focus to the study, we defined two principal objectives to develop:

- A PAR system that supports effective project evaluation

- Methods of using that system to enhance project analysis and monitoring.

The PAR system must support as well as report on the project evaluation process. It was considered quite possible that the optimum PAR system would consist of two elements: one supporting an evaluation process carried on within the Mission, and the other reporting on that process.

It is important to note that the study emphasis was on the PAR system rather than the report--on the interrelated set of activities and events required to initiate and sustain a Mission-useful project evaluation process, not on what document gets sent to AID/W.

2. Specific Study Outputs

Two types of outputs were required of the study:

- (1) Specific, action-oriented recommendations and plans for implementing an effective PAR system;
- (2) Recommendations for improving USAID technical assistance management by concentrating on critical factors and tradeoffs relevant to classes of, as well as individual, projects.

Action plans and procedures for implementing the recommended improvements are included in this report to meet the requirements of the first item. Recommendations of the second type are addressed for the most part to the design and management of technical projects rather than to improvements in content, thus address in observed deficiencies in management.

3. Definition of the PAR System

The term "PAR system" is used to include all forms, procedures, requirements, and constraints associated with reporting on project evaluation. It specifically includes potential improvements in such instruments as the PROP and the PIP, where they clearly intersect the PAR. The study outputs thus include the following elements, defining the PAR system:

- a. System uses appropriate to each level of user in AID
- b. Reporting instruments appropriate to each level of use
- c. Procedures for generating and forwarding project appraisal reports
- d. Uses of PAR data to support Washington and Mission management practice
- e. Recommended relations between the project evaluation processes, the program evaluation function at AID/Washington, and the various organizational elements appropriately concerned with non-capital project evaluation.

B. STUDY METHODOLOGY

The methodology for this study involved three basic steps: (1) characterizing the management processes through which PARs are generated and used; (2) drawing a sample of projects and PARs for detailed examination; and (3) examining that selected sample of PARs to measure validity and utility for current and projected AID management practice.

Each of the above aspects of the study methodology is briefly described in the following paragraphs.

1. Definition and Characterization of Management Processes

There are three management processes of interest to this study:

- a. The processes through which projects are evaluated;
- b. The processes through which PARs are generated;
- c. Those processes that should or could be supported by PARs or information derived from PARs.

Project evaluation of some form is performed at every USAID Mission. If the PAR were an ideal instrument, it would be generated as part of the project evaluation process performed by each Mission. To the extent that the PAR is not derived from normal project evaluation processes, or does not facilitate those processes, it represents a cost to the Mission in terms of the human resources required to prepare it. Thus, the actual methods of preparing and reviewing PARs were defined for each of the locations surveyed. The cost of preparation was then compared to the benefits provided both Mission and Washington management.

If the PAR is to make sense it must support management practice. This is as true for AID Washington as it is for AID Missions. Thus, an important part of the study was to inventory those decisions at AID Washington that can and should be supported by project evaluation data. It was recognized that, in view of the relative newness of the PAR instrument to the USAID, this effort would include defining new uses as well as inventorying current use of evaluative data.

2. Mission and PAR Selection

Source data gathered by this study included assessments of the validity and utility of PARs. It was neither necessary nor desirable to visit every AID Mission and review in detail each of 500 projects to be reported on in 500 PARs. However, it was desirable to make general statements about the way PAR requirements were being interpreted, and the validity and utility of the PAR. This suggested the use of statistical sampling techniques -- both to provide a basis for making inferential statements and (a related issue) to preclude imposition of unsystematic (subjective) biases. Therefore, it was decided to randomly select the projects and PARs to be studied. First, however, to limit travel expenses, the countries to be visited were systematically selected.

Five key factors seemed likely to impact the project evaluation process:

- (1) The Mission, and the Mission management's interest in project evaluation;
- (2) The magnitude of the technical assistance effort within the Mission;
- (3) The region, and the degree and type of control exercised by the regional bureau;
- (4) The sector in which the project falls;
- (5) The relative importance of the technical assistance budget in the Mission as compared to capital assistance.

It was decided to select a representative sample based upon the first three of the above factors, but not on the latter two (sector and relative size of TA budget). Stratification by sector was ruled out because the

relatively large number of sectors make it difficult to draw a sample large enough to enable valid inferences to be made for each sector. Further, it is desirable to characterize the evaluation process in a way that does not pay particular attention to sectoral analysis. One of the potentially important benefits of the PAR system is the ability to perform cross-sectoral and other non-programmatic analyses.

Although projects were not specifically stratified by sector, the list of projects finally selected was reviewed and augmented to ensure that the overall project list (for all Missions) included reasonable sectoral representation.

Stratification by relative importance of TA budget was ruled out to avoid overemphasis on the smaller Missions whose budgets consist principally of technical assistance projects.

a. Mission Selection

Stratification of Missions by TA budget size, based on FY 69 estimates of FY 68 actual expenditures*, fell naturally into three categories:

- (1) over ten million dollars in technical assistance;
- (2) three million to ten million dollars, inclusive;
- (3) under three million dollars.

It was decided to visit every Mission having a TA budget over ten million dollars, and a Mission in each region to correspond to each

* From Congressional Presentation FY 69

of the other two technical assistance budget strata. However, following this process rigorously would involve disproportionate representation for the East Asia Missions. Since both Laos and Thailand have TA budgets in excess of ten million dollars, only one smaller Mission was selected for the East Asia region. Political circumstances and press of USAID business precluded our making a formal Mission visit to Nigeria, although it had a TA budget of \$11.6 million (for FY 69 Congressional presentation); nevertheless, we were able to consult informally with representatives of USAID/Nigeria to learn about their evaluation process and to expose our approach to evaluation.

Missions having TA budgets of less than one million dollars were excluded from consideration. These small Missions are extremely varied in their objectives and approaches and are not representative of AID Missions generally. Moreover, they represent only 5% of AID's total technical assistance budget.

b. Project and PAR Selection

For each Mission surveyed, a list was prepared including all projects for which PARs should be issued. Projects were ranked in order of estimated technical assistance expenditures and then selected using a systematic, but random, selection procedure. Specifically, if there were 30 projects and we wished to sample five, we picked a number from the random number table (e.g., two) and then starting with that number (e.g., the second project) we selected every sixth project thereafter (e.g., the eighth, fourteenth, twentieth, and twenty-sixth).

c. Scope of the Study

(1) Geographic Coverage and USAID Participation.

A total of 16 countries were visited during the course of this study. Initial data-gathering efforts, including on-site reviews of representative projects, were undertaken at six Missions in the NESAs and EA Regions. (The Missions visited are identified in Table 1-1.) Upon conclusion of the initial NESAs and EA visits, findings were summarized and presented at the NESAs and Africa Evaluation Conferences, held in Turkey and Uganda, respectively. It is important to note that findings based on EA and NESAs visits were presented at the Africa Evaluation Conference (prior to Africa on-site reviews). The fact that Africa personnel generally concurred with our findings was an important indicator that those findings were not strongly dependent on Regional characteristics.

After completing the NESAs and Africa Evaluation Conferences, study findings were assessed to develop plausible recommendations for improving evaluation and management of technical assistance projects. These recommendations and key concepts were tested and refined through visits to four Latin America Missions, and attendance at the EA Evaluation Conference (held in the Philippines).

Our data-gathering and field-test efforts in Latin America enabled us to develop a revised PAR system for field test in (three) selected Africa Missions. The results of that field test were positive, allowing us to make a fairly complete presentation of our recommendations at the Latin America Evaluation Conference (held in Brazil).

Table I-1
MISSIONS VISITED

REGION	PURPOSE	MISSION
Near East South Asia	Data Gathering	Afghanistan India Nepal
	Evaluation Conference and test relevance of regional findings	Turkey
East Asia	Data Gathering	Korea Laos Thailand
	Evaluation Conference and test relevance of regional findings	Philippines
Latin America	Data Gathering and Verifica-	Brazil Ecuador Guatemala Paraguay
	Evaluation Conference and Trial of New PAR System	Brazil
Africa	Field Test New PAR and	Kenya Liberia Tanzania
	Evaluation Conference and Test Applicability of EA/NESA Findings	Uganda

As is illustrated in Figure 1-1, the sequence of data-gathering and field-test events involved a great deal of interchange with USAIDs from each Region (excluding Vietnam). It is also important to note that initial findings and recommendations were based upon data obtained through on-site reviews at EA and NESAs Missions, but were applicable to both Latin America and Africa Missions. This ability to extrapolate our findings, coupled with the visibility given our findings and recommendations at the Evaluation Conferences, adequately demonstrated that the recommended improvements are applicable to all Missions in the Regions visited.*

(2) Projects Studied.

The number and type of projects reviewed in the course of this study are summarized in Table 1-2. As may be noted, there is relatively less on-site coverage in Africa than for the other Regions. This is because our approach to Africa was Mission- rather than project-oriented, as we tested system improvements in the Africa Missions.

(3) Number and Type of Personnel Interviewed.

The number and type of USAID personnel interviewed during the study are summarized in Table 1-3. The figures noted here are for in-depth interviews undertaken during the evaluation conferences or group meetings at the Missions.

* A possible exception is the "mini-Mission". None were visited and few were represented in the conferences. The forthcoming evaluation conference in Central America should be used to confirm that our findings are generalizable to very small Missions.

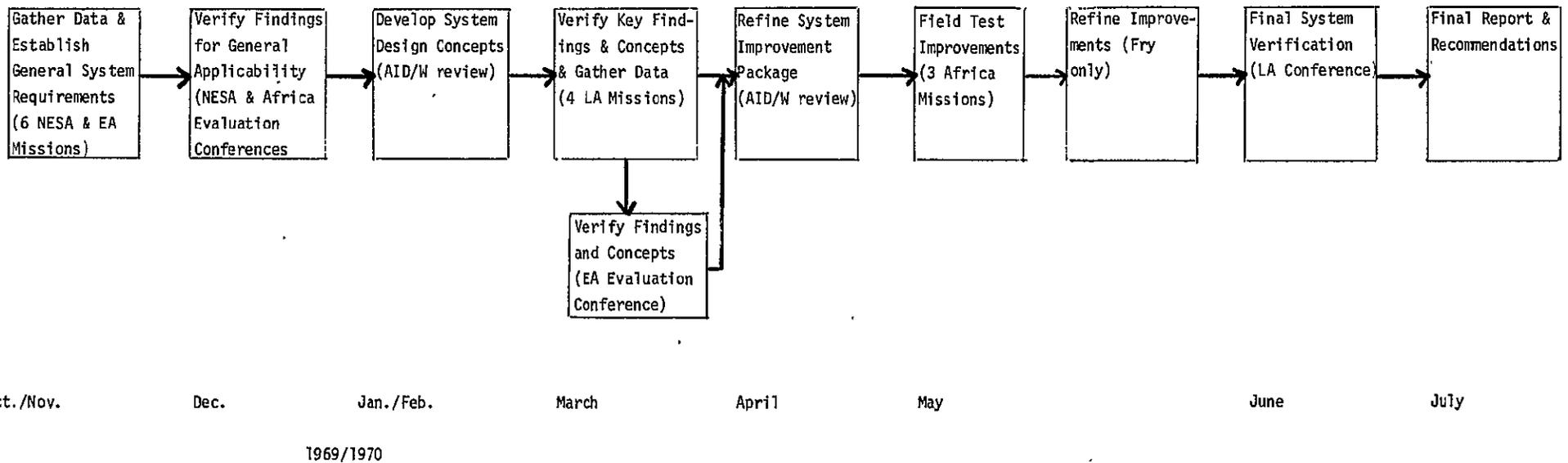


Figure 1-1. Scheduling of the Data Gathering and Field Test Efforts Allowed USAIDs from All Regions to comment both on the Initial PAR Process and on Study Findings and Recommendations.

TABLE 1-2

NUMBER AND TYPE OF PROJECTS REVIEWED

Activities	Region				Total Reviewed	% of Sample	% of TA \$ In FY'69*
	NESA	EA	LA	AFR			
Agriculture	7	4	5	2	18	28.5	13.1
Industry	1	1	1	1	4	6.3	9.1
Transportation		2			2	3.1	14.3
Labor		1			1	1.5	2.0
Health	4	1	1		6	9.5	16.0
Education	5	4	4	2	15	23.8	16.2
Public Administration/ Public Safety		2	3	1	6	9.5	11.0
Social Welfare		5	3		8	12.6	6.7
Private Enterprise	2	1			3	4.7	11.7
Totals	19	21	17	6	63	99.5%	100.1%

Note: Findings relative to the PAR as a report and a process are based on a sample of only 43 projects for which PARs were available at AID/W. Findings relative to the PAR process and general findings embrace the full sample of 63 projects.

* Percentages were computed using dollar amounts reported on p. 28 of the June 30, 1969 Operation Report under the heading: FY 1969 Project Commitments by Field of Activity. Commitments listed under "General and Miscellaneous" and "Technical Support" were excluded from the computations.

TABLE 1-3 USAID IN-DEPTH INTERVIEWS

A. By Level of Responsibility

LEVEL	NESA	EA	LA	AFR	TOTAL
Sub Project	14	11	6	2	33
Project	25	15	12	4	56
Division	18	21	14	4	57
Program Office	9	11	10	5	35
Staff/Admin	5	4	4	6	19
TOTAL	71	62	46	21	200

B. By Type of Personnel

TYPE	NESA	EA	LA	AFR	TOTAL
Direct Hire	45	50	38	17	150
PASA	6	4	3	1	14
Contractor	20	8	5	3	36
TOTAL	71	62	46	21	200

TABLE 1-4
AID/W INTERVIEWS

REGIONAL BUREAUS		49
Development Planning	17	
Technical	16	
Area/Desk	12	
Staff/Administrative	<u>4</u>	
STAFF BUREAUS AND OFFICES		27
AID/W CONSULTANTS		<u>7</u>
TOTAL		83

(4) Quantitative Analysis.

The methodology for using PAR data for research was developed in the course of the project. The research was focused on two distinct but related efforts:

(a) 321 PARs were coded, stored for computer analysis, and used for analysis of technical assistance projects.

(b) The PAR preparation process was analyzed using the PAR data already in the computer file together with interview data about 43 projects from those studied at the Missions for which there were PARs in AID/W. The methodology for quantitative analysis is discussed in greater detail in Volume Two, Chapter II.

C. MEASURES OF PAR VALIDITY

The "relevance, validity and reliability" of a document can be measured in a number of possible dimensions. In seeking to focus our effort to measure PAR validity, the question was raised as to why and in what way the PAR must be valid -- that is, what is the degree of resolution required of the reporting instrument in order to support its intended uses? Pursuing this line of reasoning led us to the following operative concept:

1. The PAR as a reporting instrument is intended to support certain management processes.
2. The degree of resolution, accuracy, or validity required of the PAR is that degree sufficient to enable management to take appropriate and useful action based on the PAR.

Therefore, it was decided that measurement of PAR validity, although it would include other kinds of measurements, would be focused on the following steps:

1. Assess the project by reading a PAR (several persons read each PAR) and identifying important issues and reasonable actions;
2. Reviewing assessments based on PARs to determine (1) whether the "reasonable action" would achieve its intended effect, and advance the USAID intentions; (2) whether the reader's perception would most likely be altered if he were to have access to all data available at the field; and (3) to catalog Mission, host country, and local contractor perceptions of the project to establish any differences between those perceptions and those based on the PAR.

D. ASSESSMENT OF PAR UTILITY

The assessment of PAR utility is closely related to the effort aimed at improving the PAR as a reporting instrument. Through analysis of actual PARs, and through definition of information needs, we identified those sections of the PAR considered most significant in supporting AID decisions. Four specific steps were undertaken, the first three of which were:

1. Measuring the utility of the different classes of data included within the PAR;

2. Identifying the utility of specific data elements within each class of data, and of related data elements not currently reported;
3. Assessing the uniformity with which Mission management responds to data requirements.

Answers to the first two questions allowed the study to focus on the kinds of information that are necessary as opposed to those that are either of marginal use or, in fact, not required. This enabled recommendations to be made for streamlining the PAR. The third of the above steps established the improvements needed to provide analytical capability at a level above that of individual projects. This suggested the fourth step:

4. Assessing ways in which PAR information can be processed and reformatted to provide meaningful analytical output.

Viewed in broad terms, four questions were addressed: (1) Are we getting the information we need? (2) Are we getting it efficiently? (3) Are we getting comparable information for all projects? (4) Assuming we get comparable information, how do we best use it?

E. GENERAL APPROACH TO THE MISSION SURVEYS

To ensure a consistent approach to Mission management, and to avoid confusion about the purpose of this study, our initial approach to the Missions was uniformly as follows:

1. We assumed that the Mission had a project evaluation system that effectively met its needs, and that the PAR might be to some extent redundant with that system.
2. The potential of the PAR system to support the existing project evaluation system was stressed, and Mission management views solicited for ways in which a PAR system could be of service to them.
3. It was pointed out that study outputs would not identify specific Missions or projects.
4. We stressed our recognition that the technical assistance environment of each Mission was unique, and that we were interested in the local environment precisely to determine to what degree technical assistance programs could be compared among Missions.

The above general approach to the Missions both facilitated our dialogue with Mission management and provided the basis for our Mission survey methodology: (a) describing the existing project evaluation process, (b) describing the PAR preparation and review procedure, and (c) relating the two.

F. DATA GATHERING TECHNIQUES AND FORMS

The basic data gathering technique was the personal interviews. However, to ensure comparability of data -- both among our study team and among the various respondents questioned about the same project -- we used five basic "debriefing" sheets:

1. Interview guides for assessing individual opinions about specific projects;
2. Summaries of the interviews highlighting differences in perception (based on PAR versus on-site review, for different organizations, etc.);
3. A debriefing sheet, filled out for each project, summarizing the PAR process and participants;
4. An assessment of personnel characteristics, to determine relation between personnel characteristics and the PAR process;
5. An assessment of Mission uses of the PAR relative to design criteria for management systems.

These debriefing sheets are included as Exhibits 1 through 5, respectively. All sheets were filled out "surreptitiously" by Fry personnel, to maintain the atmosphere of free and open discussion.

The team's assessments were calibrated through independent assessments of the same projects, Missions, and personnel; thus, although many of our ratings are subjective, there is a high degree of comparability. If our findings are biased, that bias is uniform and shared by the 3-man Mission survey team.

Data from the first two debriefing sheets (individual perceptions about projects) were used to establish our basic assessment of the PAR as a report to AID/W. Data for the third, dealing with the PAR process, were

put in computer file and form the basis for many of our findings. Data from the personnel characteristics sheet (item 4 of the above) were analyzed using a manual key-sort system. The data obtained from the last sheets, regarding Mission implementation of the PAR system, are summarized by Region in Chapter IV of this Volume.

CHAPTER II
OVERALL SYSTEM CONCEPTS AND REQUIREMENTS

There is an ideal world in which there is an orderly progression of thought from country policy through program and sector goals, reaching down to technical assistance projects. In this orderly world, there are enough projects started to achieve goals, and enough goals being actively worked toward to achieve country-level objectives.

Unfortunately, the real world in which the Agency finds itself is quite different. There is a country field submission that speaks intelligently and with great insight into matters of development and U.S. country policy. There are projects. Many of them -- in fact, some say there are too many projects. But these projects are not organized to achieve program and sector goals that are in turn organized to achieve country objectives. Rather, lacking coherently stated approaches to program/sector goals, AID projects often are justified on whatever terms seem appropriate at the time of review. Most of the existing technical assistance projects have been around long enough, in one form or another, that they have a certain vitality of their own. However, because the existence of such projects has too rarely been questioned in terms of broader developmental significance, it is not always clear that our projects are in fact of developmental significance.*

* It is interesting that as a project becomes less clearly related to development objectives, or more clearly not related to development objectives, the ability to justify the project becomes less. At the same time, the perceived need to justify the project (rather than candidly examine it) becomes greater. Thus, project personnel and then sector managers may become less and less candid in their appraisals of their projects and in their discussions about such projects with the Program Office and Mission Director. This process can be carried to such an extreme that one Mission Director characterized himself as being clearly in an adversary relationship with his Division Directors.

It is into this world of too many projects, having ambiguously stated purposes and not clearly related to higher goals, that the PAR -- an instrument to create an evaluation process -- was introduced. Our study was to assess the impact of that introduction, and then improve evaluation by improving the instrument and the related aspects of project management and documentation.

An important observation about the evaluation process initiated by the PAR is that where the PAR was taken seriously, it brought benefit exceeding the cost of its preparation and review, in the minds of USAID Mission personnel as well as in the minds of the Fry observers. A second important observation is that the evaluation process initiated thus far by the PAR is still incomplete -- it lacks that essential ingredient of assessing the project in terms of its long-term development impact (significance).

Little is known about how technical assistance projects relate to development. In fact, there is some reluctance to admit how little is known. Sector management, the division chiefs, do not hesitate to discuss development in broad policy terms. However, it is a major deficiency of this level of management that it has failed to articulate to project-level personnel what and how projects are expected to contribute to development. This is an issue of major importance. The Mission Director is responsible for keeping his Mission close to that "ideal world" where projects do relate to development and U.S. country objectives. To do this, he must demand that program/sector goals fit clearly into his country policy, and must make sure that his Division Chiefs establish clear connections between project purposes

and those sector goals. The evaluation system should help clarify and enforce this demand, assisting the Director to improve quality of management and of projects.

The system requirements concepts and requirements, stemming from the need to support the Mission Director's efforts to improve project and management quality, are discussed in the remainder of this Chapter. The discussion includes the following elements:

- A. Functional specification for the improved PAR System;
- B. Summary of system design requirements;
- C. Key to the Recommended Improvements: Another View of Technical Assistance Projects;
- D. Project Evaluation as a Subsystem of the AID Project Management and Programming Systems
- E. Operation of the PAR System

A. FUNCTIONAL SPECIFICATION FOR THE IMPROVED PAR SYSTEM

I. Basic System Requirements

The PAR System must:

- a. Benefit project management by (1) forcing systematic evaluation and replanning of projects and (2) enhancing insight into development and project design;
- b. Report to the Mission Director (and appropriate lower management

levels) on issues of importance;

- c. Record the Mission's management processes as required to create a credible record assuring AID/W that the "managers are managing"

In addition to the above necessary functions, the PAR System should:

- a. Inform technical personnel at AID/W as to the state-of-the-art for establishing measurable targets, using indicators, etc.;
- b. Provide a common memory for use by TA researchers;
- c. Inform authorized users in response to specific queries.

The "operators" of the system should be the Evaluation Officers (Regional and Mission), the Director of Program Evaluation, and the PPC Evaluation Office.

2. Basic System Functions

To meet the above requirements, the project appraisal reporting (PAR) system must fulfill three interlocked functions:

- a. Create a mission-level evaluation process that enhances the effectiveness of local mission management;
- b. Provide a "credible record" of that process (those processes) enabling AID/W to fulfill its function of managing the managers (and not projects); and
- c. Provide an "AID memory" to store evaluation data for analysis and facilitate transfer of experience.

The functional characteristics of each of the above "system elements" is described briefly in the following.

- a. Create a process enhancing the effectiveness of Mission management.

This is the most important function of the PAR System. The utility of the process at the Mission establishes both the true value of the PAR process and the credibility of the management report.

To create a mission-useful evaluation process, three activities must be undertaken: Education, Process Management, and Reporting.

In terms of education, understanding of project definition, management, and evaluation should be improved. AID thinking should be oriented more to work plans and less to job descriptions. In terms of process management, evaluation must be viewed as a process providing benefit to each participant. The evaluation officer should therefore avoid the role of evaluator and adopt the role of manager or orchestrator of a process. Finally, as a reporting process, evaluation must call appropriate issues to the attention of top management. (At the same time, the reporting process should be efficient; issues that can be resolved at lower management levels should be resolved at those levels.)

At this juncture, the educational component of the PAR system is critical. We must provide sufficient education that evaluation can be carried on effectively. We should not provide so much that evaluation is encumbered rather than enhanced, nor should we interfere with established plans for

management improvements and education. Further, we must provide such education in a timely fashion, certainly before the third generation of PARs, and hopefully during the second generation.

The determining factors in the educational efforts are (1) to immediately provide skills and knowledge required to establish the evaluation process and system, (2) to provide additional analytical tools to Mission management appropriate to their ability to use such tools. The Mission Evaluation Officer, responsible for the evaluation process and best able to assess the Mission's "rate of absorption" for further education, is an appropriate channel for both education efforts.

b. Provide AID/W a credible record of management effectiveness

The ability to provide a credible record of management practice implies that good management practice has been explicitly defined. This is not generally the case. However, AID backstops and desk personnel often review project documentation to ensure that project management practice is in good accord with their own experience and insights. The degree to which this is an artful rather than a systematic process is considered to be in the nature of the business. (The need for such "artfulness" is one reason that field experience is heavily stressed as a prerequisite for AID backstopping, and that the "bright young people" on the desk often fail to fully communicate with field personnel.)

The job before us is to find an approach to project management and definition that is systematic but also takes advantage of insight and intuition.

If the field is to be informed and educated, and their concepts of project design improved, AID/W must be the taskmaster ensuring that the lessons are learned. To fulfill the taskmaster role involves three steps. First, AID/W personnel must review documentation to ensure that project design and management conforms to agreed-upon standards. Second, they should expect crisp accounting for deviations from plans or expectations. Third, AID/W should analyze the documentation to help project managers in the goal setting and analytical exercises they undertake. For example, if project managers are finding it difficult to set measurable output targets, it behooves the AID/W to provide illustrative examples based on experience with comparable projects.

For the short term at least, AID/W must emphasize form as well as content of projects. At this time, it is more important to ensure that projects are well designed and properly related to superior objectives than it is for AID/W to second-guess those superior objectives. The ability to actually achieve superior objectives depends on our ability to conceive of and design projects to implement them. Further, AID/W simply cannot manage TA from AID/W, even if that were desirable. Even if AID/W has the necessary insight into projects, Further, AID/W simply cannot manage projects as they currently are constituted, even if that were desirable. Even where AID/W has the necessary insight into projects, the field will not continue to provide AID/W with data sufficient to support continuing intervention. If candid reports result in AID/W initiated changes in projects and funding, reports will soon be less than candid. Generally, the cost of more precise analytical information forwarded centrally is more precise definition of local

responsibilities and authorities. It might almost be said that a minimum level of autonomy must be assigned to a field component. To the extent that that level of autonomy is freely given, and mutually understood by all parties concerned, effective communications can be established between the central and the regional components. However, where that level of autonomy is not clearly granted, and where there is a perceived threat of central management intervention in local affairs, there will be a tendency toward a degradation in communication sufficient to establish functional autonomy.

c. The PAR System as an analytical tool
and means of providing an AID memory

The PAR System must retain evaluation results from prior years. This will allow projects to be analyzed in terms of changes occurring over time.

Specific kinds of data to be stored by the PAR System include:

- (1) Completed PARs, as credible records of management processes, available to project backstops;
- (2) Identification of output targets, indicators, and measurable objectives used by various classes of projects;
- (3) Identification of actual progress toward output targets and other objectively verifiable measures of progress, to facilitate development of indicators and standards; and

- (4) Means for detecting patterns of projects -- successful versus unsuccessful projects, differences between regions or sectors, etc.

From the field point of view, the most important near-term output will help for planning projects that lack easy-to-measure output targets. The technical groups, and possibly the Technical Assistance Bureau, should use the PAR data to support basic research into the character of technical assistance.

3. Coverage of the PAR System

The PAR System promises to bring value to all significant technical assistance activities. The PAR System should work in all 14 of the Missions studied by Fry Consultants. USAID personnel at four regional evaluation conferences were generally receptive to the basic concepts of the PAR System -- which suggests that the System is generalizable to all kinds of Missions.* There is no evidence to suggest that the process would be less valuable in Vietnam even though that Bureau is exempt from the requirement to submit PARs.

The PAR System has been designed for non-capital projects but the logic of its basic concepts appears to be applicable to capital projects as well.

* The only significant gap in the evidence is for mini-missions. No mini-missions were visited. The evaluation conference for Central America was cancelled -- unfortunately -- so the PAR System should definitely be exposed for reactions at the scheduled Evaluation Conference in Central America.

Thus, the universe to be embraced by the PAR System includes between 300 and 700 technical assistance projects*, involving more than 300 million dollars in annual expenditures. Geographic coverage should be complete, with nodal points in the system for each of the Regional Bureaus and some form of central coordination for inter-Bureau communication.

4. Design Constraints

To be assimilated into the AID organization and environment, the PAR system should be functionally part of Regional operations, but responsibility for operating the system should be outside the Regional Bureaus. (The system should be subject to central control to ensure comparability and compatibility of data.) Further, the system must be capable of providing residual outputs for analytical and research efforts carried on outside of the operational framework. Specifically, the system should provide useful output to the Technical Assistance Bureau, suggesting the possibility of explicit linkage to in-depth evaluation functions and specialized technical expertise within the TAB.

Implementation of the improved PAR system must be not only possible, but possible at reasonable costs within the current and forthcoming organizational context. Put in more practical terms, the system must provide benefit to every level of management whose involvement and concurrence is

* It was originally estimated that there would be as many as 700 projects and therefore 700 PARs. As of February, 1970, 321 PARs had been received by Fry Consultants from AID/W. Although it was clear that this number of PARs did not cover all technical assistance projects, it was also clear that the estimate of 700 active projects included many that had, in fact, been terminated.

required. Further, the degree of benefit should be directly related to the demands made on each level of management and should not depend upon the continuation of prior systems, organizations, or approaches.

5. Definition of PAR System Uses Appropriate to Important System Users

a. Mission Personnel

Technician: The evaluation process should help make the technician aware that he must have specific and measurable objectives for his own work and that those objectives must be agreed to by the project manager. Further, he should recognize that if he (the technician) accomplishes his agreed-upon objectives, the project purpose will be served and development will result. Generally, he must become sufficiently aware of the project purposes that revisions to his personal work plan will not mean that his work becomes less relevant.

Project Manager: The Project Manager must become aware of the fact that a project consists of specific measurable outputs that must be achieved within a defined period of time. He should identify the key assumptions (both explicit and implicit) upon which his project is dependent; as part of the evaluation he must reconsider those assumptions to ensure their validity.

He must reconsider the alternatives to his project and either change his plans or confirm the current design as being superior to those alternatives. He then must consider the higher level goals or objectives at which the project is aimed. That is, he must see the way

that his project purpose relates to the program or sectoral goals at which his and related projects are aimed.

The Project Manager must accept explicit responsibility for relating his technician's efforts to the purposes of the project; in an analogous way he must ensure that program or sector management clearly explains the way in which achievement of his project is relevant to the larger goals of development.

Sector Management: The evaluation process should help sector management establish priorities for projects under their control. Sector Managers should clearly perceive the groups of projects that are aimed at specific sectoral goals, and separate these from the assumptions or other factors that must be in place to achieve those goals. There could be a clear understanding of the alternatives to each of the projects in the sector.

The Sector Manager must ensure that the Project Manager understands how his project is related to the sector goals.

Program Officer: The relationship between things that technicians do, outputs of a project, and sector or programming goals should be a clear causal chain. The Program Officer must ensure that the causal chain exists and is continuous. He must ensure that a clear hierarchical relationship is established, from individual work plans through the highest level mission objectives. Further, he must have a clear understanding of projects having multi-sector impact, helping establish priorities for such multi-purpose efforts.

The evaluation process will provide an opportunity for the Program Office to present the Mission Director's policies and priorities as they relate to setting project or sector priorities. The Program Officer also can take the opportunity to transfer experience gained on projects in one sector to projects in other sectors.

The Mission Director: The evaluation process must identify for the Mission Director important project-specific problems and other noteworthy factors common to a number of projects in his Mission. It must identify for him high-impact projects and the potentially high-impact projects that are not making it. Perhaps most important, the evaluation process should provide the Mission Director the same thing that it provides AID/W -- a credible record that Mission Management has fulfilled its responsibilities.

b. AID/Washington Personnel

Desk Officer: The variations in the way the different desks operate preclude clearly defining a single role for all desk officers.

The desk can be the communication channel through which the PAR is forwarded and through which the communications about the PAR are returned to the Mission. However, if possible, distribution of PARs within AID/Washington should be automatic and require no express action on the part of the desk.

The desk should accept responsibility for holding the Missions to their PAR submission schedules -- with exceptions only when it is

clear that a "Mission-useful" process would be precluded rather than enhanced. The PAR process is of value to the Mission; holding the Mission to their evaluation and PAR submission schedule should benefit the Mission as well as the desk and AID/W generally.

The desk should also work with or serve as the Project Backstop, to review the PAR to ensure that it is a credible record of good management process. The Project Backstop must know what a well-designed project and a good evaluation involve, and must read the PAR to verify that there is a good design and a tough-minded evaluation process. He then should help Mission improve the design and evaluation of projects.

Institution Development: The I.D. Office should work with groups of PARs to provide guidance on defining output targets, measuring purposes and objectives, and establishing indicators. Examining actual experience with various types of projects is the best way to develop standards for performance comparisons, and the I.D. group should contribute to that effort.

Development Programming Office: The D.P. Office should use the PAR system to answer two questions. First, during project reviews the question must be answered as to whether a credible record of effective evaluation (the PAR) has been forwarded to AID/W. This question should be addressed to the backstop and to the I.D. groups. Second, the D.P. Office must review Mission programs in terms of project significance as noted on the PARs. In its broadest interpretation, the question is "do the individual projects add up to Mission programs and does the

whole program make sense in the light of stated country level policy and objectives?"

A third question, to be answered as part of PROP and budget reviews, is "have all important issues been considered in the revised project plans?" This question requires a combined judgment of AID/W to answer, but the D.P. Office should lead the necessary reviews.

Evaluation Officer: AID/W must manage the Mission managers. Thus, the Regional Program Evaluation Officer must ensure that the Mission evaluation officers fulfill their roles as educators, process managers, and reporters. His emphasis should be on equipping the evaluation officers with insight and tools to facilitate these roles. He must restrain his tendency to get deeply involved in substance of projects and evaluations, and comparably restrain the evaluation officers in the Missions. He should review PARs to detect weaknesses that may be remediable by the evaluation officer.

Regional Administrator: The Regional Administrator should accept the credible record of good management thought presented in the PAR, as evidence of good management. He must reward candid appraisals both through direct acknowledgement of such appraisals and by insisting that less-than-candid appraisals be returned for rework. He should impress on his regional management that a good evaluation report, a credible record of effective management, must be available for any project for which funding is renewed. However, funding should be explicitly contingent upon the PAR being a good record of management

thought, not upon the PAR being further justification of the project.

B. SUMMARY OF SYSTEM DESIGN REQUIREMENTS

Analysis of the functional requirements noted previously led to system design requirements summarized as follows:

- The system must provide a project design framework that differentiates between the USAID's clear-cut management responsibilities (those things that USAID managers agree to accomplish within time and resource limitations) and USAID responsibilities as social scientists hypothesizing that certain manageable activities will result in development.
- Project evaluation is an input to programming and replanning. Neither the USAIDs nor AID/W should demand that the PAR resolve all issues raised.
- The justification for project evaluation is utility to USAID management. That primary justification for the system should not be compromised.
- The primary purpose of the PAR as a report to AID/W is to demonstrate that the USAID management role is being effectively fulfilled, not to provide information for AID/W decision-making about projects.
- The PAR is an important asset to the AID/W memory, both as a report and in the information gained by the evaluators.
- The PAR and the evaluation process must be considered as a sub-system

of the larger programming and documentation system that includes the PROP and the PIP.

The above requirements are reflected in the system discussion included in the remainder of this chapter.

C. KEY TO RECOMMENDED IMPROVEMENTS: ANOTHER VIEW
OF AID TECHNICAL ASSISTANCE PROJECTS

Study of USAID project evaluation suggests that three basic problems hamper the USAID efforts:

- (1) The purposes of Technical Assistance Projects rarely are defined sharply, and the connection between a project and its higher goals is almost never clear;
- (2) USAID staff cannot accept explicit responsibility for achieving project success, as success is highly dependent upon actions of others -- thus, there is rarely a clear sense of management responsibility;
- (3) Lacking both the orientation that should be provided by clear-cut plans and sharply defined management responsibilities, and the methodology appropriate to a well-defined experimental situation, the USAID evaluator has found evaluation difficult and has found it difficult to translate evaluation results back into better plans and better projects.

To attack the above-noted problems and facilitate evaluation, it is proposed that the USAID staff consider their projects as experiments in applied

social science. This viewpoint allows use of evaluative tools associated with "scientific methodology" and has important implications for both management and monitoring of progress. The proposed view of technical assistance projects is clarified, and its implications for USAID management discussed, in the following.

The discussion is presented under five topic headings:

1. Clarification of terms;
2. Technical Assistance as a Development Hypothesis;
3. Clarification and Measurement of Project Purpose;
4. Implications for Evaluation;
5. An Important Clarification.

1. Clarification of Terms

Before proceeding with this discussion, there are four terms requiring careful definition: (1) Inputs, (2) Outputs or Output Targets, (3) Purpose, and (4) Goal.

Inputs are whatever the USAID provides -- whether it be activities, commodities, personnel, services, etc.

Outputs are the expressly intended and objectively verifiable results expected from providing the inputs.

NOTE: The USAID manages inputs to produce outputs. This relationship is more important than any absolute definitions. If a project includes

training to provide teachers as an output, then training is of course the input. However, if the aim is to establish a horticultural research capability, teachers may well be an input.

Purpose of a project is what we hope will result from providing the outputs -- that which we hope to create, accomplish, or change. The purpose is never the sum of our outputs, but must clarify why the outputs are provided. The project purpose should be established as part of Mission programming. (Outputs should be selected considering both project design and programming factors; inputs should be selected as part of project design.)

Goal is a general term characterizing the programming level above the project purpose. It provides the reason for the project, the purpose of which becomes the "if" for the statement "if project purpose, then higher goal."

There always is a goal superior to the project purpose. However, it is possible that a Mission may decide that a certain purpose is a valid end in itself and thus not include an explicit goal statement.

The definitions of input, output, purpose, and goal are necessarily inter-related. Nothing in the definitions establishes a specific level in the programming hierarchy, although it is suggested that project purpose be explicitly defined as part of the programming rather than the project design process. The nature of this relationship is characterized by the requirement that there be a logical chain of if-then statements, with the

"then" of a preceding being the "if" of a subsequent statement:

If inputs then outputs ...

If outputs then purpose ...

If purpose then goal.

The Mission accepts management responsibilities for translating inputs into outputs. The Mission adopts the role of applied social scientist when examining whether outputs result in purposes, and purposes in goals.

2. Technical Assistance Projects as Development Hypotheses

AID programs and projects can be viewed as a series of linked developmental hypotheses. These hypotheses are conveniently stated as linked "if-then" statements, with the "then" of a subordinate hypotheses (e.g., "if outputs, then purpose") being the "if" of a superior statement (e.g., "if purpose, then goal"). To illustrate:

- a. If we provide these inputs, then we will produce these project outputs (e.g., if we provide 50,000 tons of fertilizer per year, administrative assistance to an Agricultural Supply Corporation, and warehouses at two key distribution points, then we will cause farmers to increase average fertilizer consumption by 20% per year);
- b. If we produce these project outputs, then we will achieve this project purpose (e.g., if farmers are moved to increase their fertilizer consumption by 20% per year, average per-acre productivity will increase by 10% per year);

- c. If we achieve this project purpose then we will achieve this sector goal (e.g., if average per-acre productivity is increased by 10%, then farm income will increase by 5% per year);
- d. If we achieve this goal, then we will achieve social/economic growth consistent with our country strategy; (e.g., if farm income is increased by 5% per year, then real per-capita income will increase by 3% per year).

Additional levels of input-output relationships may exist -- as, for example, where we may provide inputs to create the Agriculture Supply Corporation. However, the important thing to note is that although AID program-to-project relationships are not always clear, they usually can be reconstructed, and when reconstructed can be stated as "developmental hypotheses."

AID projects can thus be viewed as experiments testing these developmental hypotheses. The important difference between USAID projects and laboratory experiments is that AID projects rarely have controls. The competition for resources, and the impracticality of defining acceptable control groups, virtually preclude use of controls. However, this does not preclude using scientific methodology for evaluation or extrapolation. Proper definition of projects and use of baseline data can simulate the rigor of a controlled experiment. Further, scientific evaluative techniques can, by recreating baseline data, and examining sub-groups within the experimental population, provide a lesser degree of rigor on a post facto basis. Many if not most social/behavioral programs are evaluated after the fact and without

previously designated control groups.

The key implications of this view of AID efforts are:

- (1) Project purposes must be clearly stated, and the measures of progress toward project purpose must be conceptually different from those measuring progress toward outputs;
- (2) Evaluation of projects and programs can borrow heavily from the methodology of the social sciences, to more confidently extrapolate future success based on past experience.

The first of these implications is the more important, for it is the basis of the second and, moreover, allows us to distinguish between the USAID's management and experimental functions. (The USAID manages inputs to produce outputs; it hypothesizes that producing those outputs will achieve purposes.)

These implications, and an approach to evaluation using the methodology of applied science, are discussed separately in the following.

3. Clarification and Measurement of Project Purpose

The plan for a technical assistance project is defined by three factors: inputs, output targets, and purpose.

The logic leading us to suppose that supplying inputs will achieve project purposes may be viewed as two hypotheses:

1. If these inputs are provided, then the following output targets will be attained (e.g., if we provide a revised curriculum, 12

professors, and an administrative assistant, then the "Host University" will be self-supporting and will graduate 100 students per year);

2. If these outputs are attained, then the project purpose will be achieved (e.g., if the Host University is self-supporting and graduates 100 students per year then it will be a viable university).

The distinction between outputs and purpose is in large part the distinction between management and applied science. The USAID Project Manager agrees to manage the resources made available to him to achieve the outputs. It is a hypothesis, based on Mission judgment, that achieving those outputs will result in the purpose.

End-of-Project Status

If we accept that there is an if-then hypothesis relating outputs to purpose, we cannot measure outputs to find out whether or not we achieved the purpose. Measuring outputs would be simply reasserting our hypothesis rather than validating it.

We cannot measure "if" to demonstrate "then". It follows that the means of objectively verifying achievement of project purpose should be independent of the means of measuring outputs. If our purpose is to create a viable Host University, and our outputs include administrative and fiscal responsibility, then we should not measure fiscal/administrative responsibility to test viability. The test of viability should measure factors not under our control -- for example, that the University provides an appropriate number of graduates who are successfully employed in key industries.

(To say that fulfilling output requirements is proof that project purposes have been realized is like proving that life has been created by placing the proper chemicals in a beaker and then demonstrating that the beaker contains elements of the type and in the proportion found in living organisms. The test of life is not the chemicals, it is adaptability - the ability to respond to stimuli and to grow.*)

Recognizing that it may be difficult to find objective means of verifying that project purpose has been achieved, the idea of an "end-of-project status" has been introduced. The Project Manager is required to define how he will know when his project has been successfully completed, and to indicate how he will verify that completion.

To describe an end-of-project status, the Project Manager must anticipate the time when the project will be complete, and then consider what will be required, at that time, to provide the proper "if" to the statement "if project purpose then higher goal". He then must define a way to objectively verify that the project meets those demands of the future.

Clearly, not all factors affecting a project are under the control or even influence of the Project Manager. However, it is Mission judgment that in spite of the fact that many factors are not under Mission control, producing a certain set of outputs will be sufficient to achieve that purpose. The procedure for examining the validity of that judgment must be independent

* The analogy between "creating life" and building an institution is a potentially useful one. It is in no way inconsistent with the measures of institutional growth being developed by the Agency (for example, those presented at the AID-CIC Conference on Institution building and Technical Assistance, held in Washington, D.C., on December 4-5, 1969), and is, in our opinion, worth further consideration.

Clearly, not all factors affecting a project are under the control or even influence of the Project Manager. However, it is Mission judgment that in spite of the fact that many factors are not under Mission control, producing a certain set of outputs will be sufficient to achieve that purpose. The procedure for examining the validity of that judgment must be independent of the management-oriented review to determine whether or not output targets have been met.

Thus, end-of-project status is an anticipation of what should result from the project, stated to facilitate objective verification that project purpose has been achieved.

Explicit statement of project purpose and end-of-project status clarifies the boundary between project management, applied science, and sector programming. The Project Manager is responsible for achieving the project outputs, and shares responsibility for achieving the project purpose as well as formulating and testing the hypothesis that those outputs will achieve the purpose.

NOTE: End-of-project status is usefully considered as the result a social scientist anticipates for his experiment. (The experiment is, in this case, the project.) This view supports that already in the PROP Manual Order (1025.1):

"It is of prime importance, both to the project review and approval process and the ultimate project evaluation process, that anticipated results of the project be made clear. The concept and specification for "completion" of the project, . . . should be stated with maximum precision."

Our recommendation is that "maximum precision" include stating how

completion will be objectively verified and that the means of verification be independent of the measurements of outputs. (The outputs are, after all, characteristics of the experiment itself, and not of the intended result.)

4. Implications for Evaluation

Postulating USAID efforts as a set of linked "developmental hypotheses" enables us to use scientific methodology -- specifically, ex post facto analysis -- to evaluate our projects and programs. This approach is briefly described in the following.

To complete our comparison of AID projects to experiments, it must be noted that there are two types of developmental hypotheses: (1) the explicit or primary hypotheses, and (2) the implicit or secondary hypotheses.

The primary hypotheses are those that explicitly relate inputs to outputs to purposes to goals, and are the prime subjects of our investigations. The implicit hypotheses are those we have assumed to be true and test only as required to gain further insight into our primary hypotheses. For example: a primary, or explicit hypothesis might be that "if the swampy areas of the Northeast are cleansed of yellow fever, then this area will be colonized." There are numerous implicit hypotheses underlying the success or failure of a project to increase colonization by eliminating yellow fever. These include both fairly specific hypotheses about related events (e.g., if the Northeast is cleared of yellow fever, that information will be given to and believed by potential colonists) and those that USAID convention

tends to label as "assumptions" (e.g., there is a pressure for colonization -- if we remove barriers to colonization, then colonization will occur).

Using this view of AID projects, evaluation involves examining both the "then" and the "if" for each developmental hypothesis and the link between them. The hypothesis tends to be supported if the outputs have been provided and the purpose has been achieved -- both the "if" and the "then" are "true". (Or, more likely, if the movement toward project purpose is as would be expected in view of the progress toward outputs, the hypothesis tends to be supported.) If the "if" has been provided but the "then" has not occurred, then the hypothesis is not supported. The important point is that the entire chain of developmental hypotheses must be reviewed and, at any link in the chain, the hypothesis will be either supported or not supported.

If the developmental hypothesis tends to be supported, good methodology demands further analysis of the experiment. The approach to such supported hypotheses should be to use the method of "alternative hypotheses" in order to establish a degree of confidence (and therefore transfer value) for the finding. For negated hypotheses, the approach would be to examine the implicit hypotheses until we can establish a "probable cause of failure" -- that may or may not be the explicit hypothesis. (In either case, the investment in such assessments should be commensurate with the extent to which the findings are liable to be of importance to current Mission affairs.)

a. If the Hypothesis is Supported

If the explicit hypothesis is supported -- progress toward purpose

is consonant with that toward outputs -- there is no need to examine the underlying implicit hypotheses (unless those implicit hypotheses are important to evaluations of other projects). Rather, the evaluator will want to know why. The approach to evaluation then will be to develop alternative hypotheses to explain the same phenomenon. If none can be developed, or if the plausible alternate hypotheses can be disproven, support for the explicit hypothesis is strong, and it should provide a basis for further efforts along the same lines. To the extent that alternative hypotheses are credible, support for the explicit hypothesis is weakened. This line of investigation should be carried as far as is reasonable in view of the perceived and potential importance of the finding -- relative to both the scientific and the management aspects of Mission affairs.

The method of alternative hypotheses is well known, and is usefully expressed as "if I can find another explanation for the same result, your explanation is weakened."

b. The Unsupported Hypothesis

In the majority of cases, the explicit hypothesis will be either unsupported or not clearly supported. (That is, the project purpose will not have been achieved, although some or all of the outputs have been produced.) In such cases, the underlying implicit hypotheses will be examined. (It is of particular importance to postulate at least some alternatives to implicit hypotheses where these have been too often justified on a post hoc basis.)

Mission staff must carefully define the implicit hypotheses it seems most appropriate to test. Judgment must also be used to determine when the evaluation has gone far enough to establish causes. The final test of whether evaluation has gone far enough will be whether there is a sufficient basis for replanning.

In some cases (as, for example, where no outputs have been achieved) there will be no alternative to actually examining the effects of inputs -- that is, reviewing what actually happened as a result of USAID activity. Some data will be immediately available -- as, for example, the number of trainees actually completing a course of instruction (as opposed to the number achieving competence in the subject matter). Other data, such as the effect of that training on the participants, will have to be either independently assessed or analyzed through proxy indicators. In some cases, there will be no substitute for on-site investigations. However, in any case, it should be possible to develop hypotheses about the specific mechanisms of change, and subject those hypotheses to test either in sub-groups within the project, in other projects, or by analyzing incremental change.

Speculations as to causal mechanisms can be translated into working hypotheses. If we observe an effect, we can develop a hypothesis that explains that effect and that predicts an incremental output change based on a given input change. We then seek to observe another subgroup or location in which the input was suitably varied. (In its most obvious form, this approach involves answering the question, "if this input is no longer provided, what happens to the output?" Alternately,

"if this input level is doubled, what happens to the output?")

c. The AID Manager as a Scientist with a Project That Fails

As noted earlier, in many and possibly the majority of cases, the developmental hypotheses will be either unsupported or not clearly supported. We will not be able to say with confidence that projects were successful. The approach in such cases must be that of the scientist whose experimental project has failed to produce the expected results. "Why did it fail?" is the question, and two avenues of investigation are opened up. First, the laboratory apparatus must be checked for unanticipated external influences (e.g., a dirty test tube or a military coup). If such influences are detectable, an alternative hypothesis is that such an external influence obscured the hoped-for effect. That hypothesis then may be subject to test -- by review of other experiments in the literature, or by looking for similar effects in his own related experiments.

If the experimenter can detect no unexpected influences on his failed project, he must examine his implicit hypotheses -- those he had assumed rather than tested. (For example, assuming that a specific strain of bacteria will thrive in the standard nutrient jelly -- an implicit hypothesis not dissimilar to the assumption that increased fertilizer sales means increased consumption by farmers who previously purchased none.) Experience suggests we need not test such hypotheses unless their disproof would provide insight into failure of primary hypotheses.

Even for the most rigorous laboratory, a failed project in an experiment means that the experimenter must use his judgment. Clearly, this is all the more so in the complex environment of the AID. However just as in the laboratory case, judgment should be translated into testable hypotheses.

If the USAID evaluator does not observe the hoped-for result (failed project), he still may have gained knowledge. That knowledge, as to why results are or are not achieved, can be used to define better projects. Further, he may be able to identify important results that he did not anticipate. If he now can predict such "unanticipated" results, he may have defined a new approach to development. (As for example, where the important result of an attempted fertilizer project is the development of local distribution mechanisms.) Note that the experimental aspect can fail whether the project succeeds or not if evaluation is poorly executed.

5. An Important Clarification

Adopting the viewpoint of a "scientist" as opposed to "manager" does not lessen management accountability -- it simply clarifies the nature of that accountability and the distinction between the subjective and the objective. Production of outputs and achievement of purpose are objectively verifiable -- thus, the only subjective elements are the Mission judgments that producing the former will result in the latter and that it is worth doing. Over the long-term, this should result in more responsible project definition and greater accountability -- as management will be called upon to assess its

judgments as well as its actions.

The adoption of the "scientific" viewpoint has been construed as implying that there can be little confidence in our judgments regarding achievement of purpose. This is not so. The scientist breeding two "recessive" corn plants is sure of the results he expects--the important aspect of his training and viewpoint is how he reacts, and what he does, when the result is not as expected. He observes systematically and gathers evidence that give him greater confidence in his next plan of action. The scientist's careful and objective sorting of evidence is what AID managers must strive for--and the recommended "logical framework" was specifically developed to support such a careful and objective process.

D. PROJECT EVALUATION AS A SUBSYSTEM OF THE AID PROJECT MANAGEMENT AND PROGRAMMING SYSTEMS

The following paragraphs briefly describe:

1. The PAR process as a "subsystem" of the AID Project Management and Reporting System;
 2. The Relation between Project Evaluation and Mission Programming;
 3. The AID/W Uses of the PAR.
1. The PAR Process as a Subsystem of the Project Management and Reporting System

The outcome of evaluation is better plan for achieving the project purpose.*
Therefore, the results of evaluation should most often be reflected in a

*Recognizing that a plan is better if you simply have more confidence in it or are more aware of its limitations.

modified PIP (plan changed) or PROP (design or intent altered). The PAR is thus an interim report, establishing the issues and the alternatives-- but resolution of those issues is not reported on until the PIP or PROP is modified.

The Mission, and AID/W, must ensure that the evaluation process is sufficiently hard hitting to raise all potentially important issues, and the most important alternatives are being considered. The PAR should be allowed to raise more issues than it solves. Project quality should not be judged by AID/W on the basis of a PAR. That judgment of quality can be done only as part of the normal programming processes.

Extending the above, AID/W should judge the quality of management, rather than of projects, in assessing the PARs. However, the Mission Director and AID/W have every reason to expect that issues raised in the PAR will be resolved as part of the programming and planning process.

In line with the clear relationship between the PAR, PROP, and PIP, the PROPs and PIPs should be modified to reflect issues of substance. Two factors currently inhibit this: (1) it is hard to modify a PROP, as that subjects the project to an additional round of approvals; (2) PIPs are not forwarded to AID/W.

To better tie the PROP, PIP, PAR System together we recommend that the concept of the PROP as a life-of-project document be refined and the PIP be forwarded to Washington. Further notes on these recommendations follow.

These recommendations supplement rather than conflict with current requirements of the PROP. However, the USAIDs tend to consider the "life-of-project" PROP as unchangeable. We recommend clarification of requirements allowing PROP changes, and that the PROP be updated as required to reflect current thinking and information.

Deficiencies in PROPs should not be tolerated simply because they are old deficiencies. At the same time, to preserve the essential "life-of-project" flavor, it is recommended that most changes in the PROP be made without prior AID/W approval. Life-of-project authorization should be aimed at project purposes and overall schedule. Changes that do not change the purpose or the basic schedule should be made at the Mission's option.

a. Refining the Life-of-Project Concept

The evaluation process should specifically review the PROP to ensure that it reflects current thinking on the project and meets the following requirements:

- (1) Contains a clear and brief statement of the anticipated "end-of-project status;"
- (2) Indicates when that status will be achieved, and how achievement will be specifically measured;
- (3) Identifies the currently most promising alternatives to the project and states the basis for selecting the chosen design;

- (4) Clearly states the developmental hypotheses upon which the project is based (i.e., "if outputs, then purpose"; if purpose, then goal") -- thus providing a sounder basis for future analysis.

The Mission Evaluation Officer should take seriously his opportunities to have the PROP and PIP updated, for in this way he can establish an evaluative framework that is relevant to current thinking as well as a management record. This will simplify subsequent evaluations, the programming process, and replanning -- and, most important, provide a higher degree of confidence in attempts to shape future events and institutions.

To simplify modification of the PROP, two types of PROP changes are envisioned. The first type, which we call "Class 1", modifies the project purpose and end-of-project status or substantially modifies the intent or cost, and requires prior AID/W approval. The second type, which we call "Class 2", are alterations in design or implementation that will not significantly change the outputs and will in no way affect the end-of-project status, the means of measuring it, nor in any major way the time or cost required to achieve that status. Class 2 changes must be reflected in PROPs, but do not require prior AID/W approval.

(A third type of change -- a change in the confidence level for the project -- can be properly reported on only in the PAR. As interim outputs are achieved, and we gain insight into implicit, as well as explicit, hypotheses, the Mission's confidence in the hypothesis upon

which the project is based may rise or decline. This would be an important part of the project record, but would not necessarily lead to planning or design changes. Thus, the appropriate vehicle for reporting changes in confidence level is the PAR.)

An approach to a modified PROP Manual Order, reflecting the above recommendations, is included as Appendix D to this Volume.

b. Changes in the PIP

The PROP should outline the major project outputs. These are then refined in the PIP, Part II, which should be forwarded to AID/W to ensure consistency with the PROP. Subsequent deviations from that schedule should be reported to AID/W in the PAR, with an assessment of replanning implications. Alternately, revisions to Part II of the PIP can be forwarded to AID/W as such revisions are made. Other portions of the PIP should be forwarded only if so desired by the Mission or specifically requested by AID/W.

As it is normal to update project plans immediately after evaluation, the Mission can opt to provide updated PIP tables as part of their evaluation reports (PARs) or along with PROP revisions. (A simple way of doing this is to incorporate Part II of the PIP in the PROP by reference, and then update it by Class 2 changes.)

2. Project Evaluation and Mission Programming

The responsibilities for the evaluation/reprogramming cycle fall naturally out of the responsibilities for establishing the basic project structure:

The Project Manager is responsible for translating inputs into outputs; programming staff are responsible for establishing project purposes that will result in achieving higher goals; it is a shared responsibility that producing the outputs will achieve the project purpose.

a. Basic Evaluative Input to Mission Programming

The specific information that project evaluation can and should provide to Mission reprogramming includes the following:

- (1) An assessment of the probability, cost, and schedule for achieving the established project purpose;
- (2) Costs, schedules, and probabilities of achieving the project purpose using alternative means of accomplishment;
- (3) Costs, schedules, and probability of achieving alternative project purposes suggested by Mission programming or identified as appropriate "targets of opportunity."

Such informational input should help the Mission programming staff establish clearer programming goals, select from among alternative projects, and agree to appropriate modifications to project purposes or schedules.

b. Enhancing the Programming Analyses

Evaluation is orderly analysis of the past to help plan better for the future. To the extent possible, it should be a scientific process,

involving post facto analytical techniques developed as part of the social/behavioral research methodology. It must be a management-oriented process, aimed at the questions relevant to Mission management.

The most important output of evaluation is a definition of the most plausible way(s) of achieving stated purposes and objectives. To accomplish that, we must perform two basic steps: (1) Extrapolate current plans to determine the probable long-term outcome (relative to stated purposes); (2) Based on experience with earlier projects/programs, define alternative methods of achievement -- that is, define alternatives to the current projects based on developmental hypotheses that are supported by evidence; (3) Define alternative projects combining high opportunity with proven hypotheses.

The output of evaluation is, therefore, a greater confidence in our ability to shape the future. Further, by increasing rigor in postulating our hypotheses and our expectations, we should construct evaluative frameworks that will provide continuing improvements in our ability to judge the future, and therefore our ability to provide better developmental assistance.

3. AID/W Uses of the PAR

The Project Appraisal Report is an input to Mission reprogramming and cannot be expected to resolve all issues raised. Thus AID/W review of PARs should be aimed at helping Mission management think through their projects and clarify the replanning implications of key problems and opportunities.

However, AID/W should expect all important issues to be resolved in revised project plans and should review PROP revisions and other planning documents to make sure of that resolution.

A "check-list" of appropriate AID/W uses of the PAR follows:

a. Issues for PAR Review

(1) What is the "credible record" -- the PAR as a report to AID/W?

- Evidence that project evaluation process was carried out (objective evidence mustered and subjected to Mission judgment)
- Plausible alternatives identified and considered
- Expectations appropriately revised and necessary decisions made
- AID/W queries responded to and insights considered.

(2) What judgments should AID/W make in reviewing the credible record?

- Was a good evaluation performed?
- Are further changes implied?
- Is there a record of sound management?

-- project

-- Mission.

(3) What are the appropriate AID/W uses of the "credible record"?

- Agenda for issues to be resolved:
 - in revised PROPs
 - as part of Mission programming
- Assessment of USAID evaluation and management improvement needs.

(4) What project-specific AID/W responses to credible record are appropriate?

- Enrichment of USAID process by offering, for USAID consideration:
 - alternative interpretations of the same evidence
 - potential pitfalls of selected replanning actions
 - alternative replanning actions.
- Analytical techniques that might be used in the replanning process.
- Assistance to improve evaluation.

b. Recommendation for Project-Specific Communications to the USAIDs

Questions to the USAIDs about specific projects should typically be answered either as part of the evaluation process or reflected in the revised plans. Thus, in the normal course of events, the Missions

would respond to all project-specific AID/W queries as part of the PAR submission or upon submission of the yearly budget request. Deviation from such "in-cycle" responses would require that the requesting cable specifically indicate the reason for faster response and the latest date upon which the response can be accepted. (This would allow the Mission to consider revising its evaluation schedule to incorporate such time-urgent queries within a Mission-useful process.)

c. Use of the Credible Record -- the PAR and AID/W Management

The Par as a report has a primary purpose of assuring AID/W that the Missions are undertaking an effective and hard-hitting evaluation process. Remembering that the PAR is an input to Mission programming, AID/W use of and comment on the PAR should be focused as follows:

(1) The PAR is informative for AID/W managers as well as for the AID memory; however, it is not to be used as the basis for AID/W decisions about projects.

(2) AID/W should comment on the quality of the evaluation process undertaken and reported on in the PAR--that is, AID/W can and should comment if PARs overlook important aspects of a project or if there is information available to AID/W that might be useful input to the Mission programming processes.*

*When AID/W comments are intended as inputs to the Mission programming process, AID/W should expect such comments to be accommodated as outputs of Mission programming rather than demanding immediate response.

(3) AID/W personnel, based on their experience with diverse projects and the projects themselves, should provide inputs to the Mission project evaluation by recommending questions and information to be provided the Project Manager during his evaluation.

d. The PAR System and Possible De-emphasis on USAIDs (consistent with the "Peterson Report")

The PAR process defined in the preceding is in every way responsive to the implications of decreased USAID staff and larger projects. In the most exaggerated cases, where there is no on-site management (as for example, where there is only a Mission Director), the project evaluation process could be carried out by the AID/W management team, operating as the previously mentioned evaluation team. The evaluation process remains the same.

E. OPERATION OF THE PAR SYSTEM

The PAR system must be managed and operated if it is to continue to bring value. The managers/operators of the system are as follows:*

1. The Mission Evaluation Officer;
2. The Regional Evaluation Officer;
3. The Program Evaluation Office;
4. The Program Evaluation Committee;

*These recommended roles are consistent with those defined in the Program Evaluation Handbook and are further clarified in Section III of this Volume.

5. A Technical Assistance Research and Analysis function, operated under the direction of the PPC and the TAB, and having clear working relationships with the PEC and members of Regional technical staff.

1. The Mission Evaluation Officer

A primary responsibility for the Project Evaluation System rests with the Mission Evaluation Officer. He must make the project evaluation process a Mission-useful one. He is accountable both to the Mission Director and to the Regional Evaluation Office.

Three tools are to be given the Evaluation Officer to assist him:

- (1) Guidelines clarifying the evaluation process and the responsibilities of individuals with the Mission and advisor, materials to support the process;
- (2) A looseleaf Project Evaluation Workbook containing instructions and worksheets to help Project Managers complete a predefined evaluation procedure;
- (3) The PAR, a report that is useful to the Mission as well as to AID/W.

The above are contained in the Implementation Package, Volume Three of this report.

Project-specific comments and questions on individual projects can be funneled through the Mission Evaluation Officer for inclusion in the orderly evaluation process. Expertise from AID/W relative to specific projects, as well as to classes of projects, may be provided to the Mission in the form of revised worksheets to be used in subsequent evaluations.

2. The Regional Evaluation Officer

The Regional Evaluation Officer is responsible for providing to the Mission Evaluation Officers information to facilitate and improve the quality of Mission evaluations.

The Regional Evaluation Officer is responsible for maintaining both informal and formal communication, between AID/W and the Evaluation Officer at the Mission. Such communications shall include methods for improving evaluation and insights derived from experience with other projects. The Regional Evaluation Office will himself become an important repository of information about evaluation techniques and the management of technical assistance projects.

In addition to the above-noted primary roles, the Regional Evaluation Officer shall also put together management teams to undertake on-site evaluations at Missions within his Region in order to (1) evaluate selected projects to aid Mission management, and (2) to train Mission staff in evaluation methodology and related management techniques.

3. The Program Evaluation Office

The AID Program Evaluation Office and Program Evaluation Committee (PEC) must provide policy direction for evaluation and a forum for advancing evaluation as well as for gaining insight into the development process.

The Director of Program Evaluation shall also be responsible for mounting training programs to provide both Regional and Mission Evaluation Officers with requisite skills.

4. The Technical Assistance Research and Analysis Function (TARA)

The Technical Assistance Research and Analysis Function (TARA) will comprise three functional elements:

- (1) A management staff drawn from members of the PPC and the TAB;
- (2) Technical and analytical specialists, drawn from regional and technical staff on an ad hoc basis;
- (3) Data processing and analytical capabilities, drawn from appropriate portions of PPC and A/AA organizations.

A prototype operation is recommended, to establish the feasibility and utility of analyzing PAR data to gain further insight into technical assistance and the development process. PAR data will be analyzed independently (that is, correlating data elements within the PAR) and also in conjunction with other data files in the AID memory, such as the ACS data and information available from the technical staff. Analyses will take advantage of both computer operations and non-computerized research and judgment--in fact,

it will be a primary objective of the TARA prototype operation to establish whether and to what extent automated data processing should be used to aid human judgment and analysis. Emphasis of the TARA should be on answering important questions in a way that suggests action, requiring that the analysts bridge the gap between the "system" and the users rather than expecting users to anticipate the system capabilities. Specific computer-oriented operations undertaken by TARA will include development of classification and coding requirements for in-depth analyses of PARs. Outputs will include identification of characteristics common to classes of projects on either sectoral or regional bases, or on the bases of other classifications appearing to be significant.

Near-term outputs should include immediate feedback on means of standardizing, setting, and measuring outputs and output targets.

CHAPTER III

AN ACTION PLAN FOR STRENGTHENING AID PROJECT EVALUATION

A. INTRODUCTION AND SUMMARY

This chapter describes the actions required of those who must implement the recommended PAR system improvements. A summary of responsibilities is presented, for each key participating AID/W organization. Overall implementation responsibilities, from which the individual action plans must derive, are summarized in Table 3-4.

In our judgment, it is fully within the existing capabilities of the Agency to plan and carryout the required implementation effort. The proposed Action Plan provides an overall picture of recommended activities in sufficient detail to make clear the nature and scope of what is proposed and how to begin. It is not meant as an operating guide for the various individuals and teams who will staff the implementation effort. Planning at this level should be carried out by each of the AID/W organizations involved and coordinated by the Implementation Manager.

The recommended system improvements can be fully implemented within eight months after receipt of this report. (Refer to the schedule provided the

"Implementation Manager," Figure 3-4.)^{*} Thus, the "best-case" schedule has the system fully operational by March of calendar 1971.

The remainder of this introductory section presents a brief summary of the essential features of the proposed Action Plan. While it is probable that some adjustments will be made in the plan with experience, it is our judgment that the key features listed below should be retained.

1. Designation of PPC as overall Implementation Manager for the AID technical assistance project appraisal system with responsibility for refining the recommended PAR improvements as necessary and directing the implementation of the proposed Action Plan. This is consistent with the PPC organizational role and takes advantage of the experience and skills available within that organization.

2. Designation of the Director of Program Evaluation as System Manager with responsibility for directing the operations of the system once it is functioning, and for maintaining and extending improvements in project evaluation. The improved PAR System is aimed at strengthening evaluation, coincident with the objectives of that office. "Operating responsibility" for the PAR System involves little in the way of direct management responsibility. However, it will involve making necessary changes and providing guidance and leadership to both users and operators of the system.

The Director of Program Evaluation is also responsible for one key and time-urgent implementation step -- training the AID/W Regional Evaluation Officers. These men are the operational heart of the system and must be immediately trained in (1) applying the recommended concepts of project

* To simplify references, Figure 3-4 is included at the end of this Chapter.

design and evaluation and (2) developing effective working relationships with their Mission Evaluation Officers.

3. On-Site training and supervised experience to develop Mission evaluation officers competent to lead the local implementation effort and subsequently to manage the Mission-level project evaluation process.
4. Development of an AID/W process for reviewing PROP and PAR submissions. This process is to focus on using the "credible record" of Mission management practice as a way of identifying and responding to weaknesses in Mission-level evaluation and management processes. This effort should include developing review criteria and guidelines for responding to deficiencies in Mission management processes. Provisions should also be made for selective reviews of PROPs by the Regional Evaluation Officer to assess the adequacy of Mission plans as a framework for subsequent evaluation.
5. Periodic visits by AID/W monitoring teams to assess the rate at which improvements are being absorbed by Mission personnel and to provide remedial training as needed. Our study suggests that the method and pace of implementation must be tailored to individual Mission capabilities. These teams should be formed and directed by the regional bureaus with the overall guidance of the System Manager.
6. Establishment of a prototype Technical Assistance Research and Analysis (TARA) operation under the joint leadership of the Technical Assistance Bureau and PPC. The TARA Task Force is to demonstrate the feasibility of performing useful analyses of evaluation reports and establish appropriate AID/W organizational and operational capabilities.

7. Establishment of a Mission-level management improvement program under the leadership of the Assistant Administrator for Administration. The recommended program involves developing Mission management improvement standards and schedules, monitoring progress of improvement efforts through feed-back from the AID/W implementation and monitoring teams, and establishing training in evaluation and management skills for Project Managers.

The remainder of this chapter discusses the following:

- The Proposed Action Plan
- Roles and Responsibilities for Implementing PAR Improvements

B. THE PROPOSED ACTION PLAN

This section describes the principal steps and activities required by the proposed Action Plan and indicates responsibility for each step. The Action Plan and overall work schedule for the Implementation Manager is presented in Table 3-4.

The activities and events shown on the work schedule are all deemed essential for successful implementation of the improved PAR system. However, some of these are time-urgent and should begin as scheduled; others can be deferred if necessary. The period of time during which an event can be deferred is shown as a cross-hatch bar; a solid bar is used from the point at which, in our judgment, the activity must begin or risk serious harm to the overall implementation effort.

1. Initial Orientation of AID/W Staff

This step should be carried out under the direction of the PPC Evaluation Staff who should make full use of the Program Evaluation Office and the Program Evaluation Committee membership for explaining the proposed system requirements and the action plan. AID/W orientation should begin in earnest with receipt of this report. Approval to begin implementation is needed by mid-August if on-site implementation is to commence by mid-September as scheduled. (The orientation of AID/W staff has actually been underway for some time in the form of PEC briefings and presentations to AID/W management by the study team.)

The objectives of this step are to (1) build a consensus within AID/W for adopting the proposed PAR improvements; and (2) gain explicit approval by the concerned AID/W bureaus and offices of their roles in implementing and operating the PAR system. The final authorization should make explicit assignments of implementation responsibilities and commit the necessary resources.

The activities entailed are as follows:

- a. Formal presentation of the study findings and recommendations to AID/W top management.
- b. Orientation sessions for middle-level AID/W managers and staff, particularly those asked to play a role in implementation and

operation of the system--the Area/desk staffs, the DP and ID staffs, and management specialists from the Office of the AA/A.

If possible, members of the study team should be made available to assist the AID/W orientation.

2. Refine and Distribute the USAID Implementation Package

This step should be carried out under the direction of the Implementation Manager in PPC, with the support and assistance of the AA/A staff. To avoid a prolonged delay and loss of momentum between final authorization of the proposed system requirements and the introduction of Mission-level improvements, work on refining and producing the Implementation Package should begin immediately.

In preparing these materials we have worked closely with and have received invaluable assistance from the Reports Management staff in the Office of the Assistant Administrator for Administration. It is our understanding that initial plans have already been made for redesign and production of the various forms and reports. Recognizing that useful changes will probably be suggested during the AID/W review, the work sheets from the Project Evaluation Workbook are being delivered in draft form, with the exception of two that have been carried through the composition stage for illustrative purposes. In addition, the revised PAR form is being delivered in final, reproducible form.

In our judgment the Implementation Package is ready for full-scale use without further field testing. These materials have been designed to be flexible enough to comfortably accommodate a variety of styles and

approaches to their use. The Africa field tests have demonstrated that the advisory materials and the Workbook, if accompanied by appropriate training and on-site assistance, can be used by Mission evaluation officers and project managers to sort out and evaluate technical assistance projects. Changes to these materials made as a result of the test experience should improve their usefulness. The field tests did not demonstrate that the Mission-useful process will lead to reporting that is adequate in all respects. However, the one new PAR received from Africa which was prepared with almost no guidance suggests that the existing PAR form, now improved over the field test version, will provide a credible record of Mission management. It is to be expected that early submissions will not be wholly adequate. The evidence suggests that on-site training will remedy most of the problems.

Nonetheless, we recognize that extensive use will reveal opportunities for improvement. Moreover, it is our intention that the Workbook evolve in response to growing Mission expertise and be tailored by the Mission to accommodate unique local needs. Short of altering the basic logic and data requirements, this view should be taken with respect to all materials in the Implementation Package. In short, whether or not additional field tests are undertaken, it should be expected that the materials design will go through several iterations during and after full scale implementation.

3. Train Regional Evaluation Officers

Training the Regional Evaluation Officers will be a continuing responsibility of the Director, Program Evaluation Office when he assumes full operational responsibilities as System Manager. For this reason, PEO should take

responsibility for this training at the outset to ensure continuity in quality and attention. Supporting assistance should be provided by the AA/A consistent with that office's responsibility for staff training.

Regional Evaluation officers should begin immediately acquainting themselves with the system concepts and procedures through "self-training" exercises and seminars. As soon as possible, all five regional evaluation officers should be called together to participate in a seminar aimed at ensuring that each: (1) internalizes the recommended concepts of project design and evaluation, (2) learns how to support and make use of his Mission Evaluation Officers, and (3) becomes familiar with the Workbook and advisories.

This initial seminar should include analysis of actual projects, thus providing as output, case materials for use in training Mission personnel. Other useful outputs of this "learning by doing" approach might include refinements in the advisory materials.

A ten-day, forty-hour seminar course is recommended for the initial training. There are no logical alternatives to using contractors for this training effort, as the few people in AID who are sufficiently familiar with the concepts and papers could not be available for providing such training, and the press of time -- the PAR System exists now and its operators must be trained -- preclude training AID trainers. (Every week of delay means another week in which Mission Evaluation Officers seek but do not receive adequate guidance.)

Specific training topics that should be included in the initial seminar if practical, but in any event should be provided the Regional Evaluation

Officers, include:

- (1) PAR system concepts, specifically including the logical framework for defining TA projects and how to apply this framework in evaluation and in developing plans that provide an adequate framework for subsequent evaluation.
- (2) Exercising functional leadership: relations between the AID/W Regional Evaluation Officer, the Mission Evaluation Officer, and the Mission Director.
- (3) Defining objectively verifiable project output targets and indicators for measuring progress.
- (4) Reviewing and acting on the credible record provided by the PAR report.
- (5) Using PAR data to develop useful analytical feedback to the Missions.
- (6) Methods and techniques for providing training and assistance at the Mission.
- (7) Techniques of evaluation and management analysis.

In addition, work should be initiated to define performance standards for RPEOs. These standards and their use should be clarified to RPEOs and, most important, to their superiors in the regional bureaus.

4. Develop Initial USAID Training Aids

This step is a function of implementation management; thus, responsibility should reside with the PPC Evaluation Staff. Support should be provided by the RPEOs who, when the system is operational, will have responsibility for maintaining and enhancing the skills of Mission evaluation officers in their regions. Specifically, the RPEO's should, in the course of their own training, produce exemplars of completed PARs and PROPs, including targets for hard-to-quantify outputs and indicators of end-of-project status. There should also be prepared models of completed worksheets from the Project Evaluation Workbook. Assistance in translating these outputs into effective USAID training aids should be provided by the AA/A staff. Initial USAID training aids should be completed and distributed to the Missions as far in advance of on-site training as possible and by the end of August at the latest.

5. Provide On-Site Implementation Assistance

Directing the on-site implementation of PAR improvements should be the responsibility of the Regional Evaluation Officers. The PPC should coordinate the four regional efforts and assist the RPEOs in planning and monitoring the on-site work. Support for developing training programs and materials and in devising techniques for assessing training impact should be provided by the AA/A. The delivery of on-site assistance should begin no later than mid-September and have reached all Missions by the end of March, 1971.

If adhered to, this schedule will provide for evaluation and replanning of all AID technical assistance projects by the end of FY 1971. Meeting

this target will facilitate the introduction of changes in the AID field management structure now under consideration for adoption in late FY 1971.

The PPC and Director of Program Evaluation should exercise extreme care to ensure that the press of time does not force the RPEOs to initiate on-site programs that are not fully responsive to the system needs. The on-site team must "sell" as well as educate. If it fails in either function, then the system may not get another chance.

The approach we recommend for providing on-site implementation is outlined below. (The proposed on-site implementation effort is summarized in Table 3-1.)

a. "Cluster" Training

On-site visits to all Missions--including "mini-Missions"--are essential for successful implementation of the PAR System improvements. Neither written materials nor classroom or group training are adequate substitutes. However, the initial orientation and training to familiarize Mission personnel with the system concepts and materials need not be on-site. We recommend this introductory training be delivered at suitable field locations to "clusters" of Missions grouped by size and location or travel convenience.

It is recommended that Missions in Africa and Latin America that participated in field testing the PAR improvements be excluded from the first round of cluster training and used as a control group to test the effectiveness of training.

TABLE 3-1

ON-SITE ASSISTANCE PLAN

"Cluster Training"		Initial Mission Visit		Follow-Up
Purpose	Train PEO and PM in Application of System Concepts	Introduce System to Top Mission Management	Demonstrate Application or System Concepts	Help Mission Sort Out Problem Projects
Program	3 Day Classroom Training Session <ul style="list-style-type: none"> • Case Study • Develop end-of project status indicators and output targets • Presentations on Phase-in strategy, advisories, and follow-up plans. 	Seminar for USAID Directors and P.O. (W/PEO & PM)	Lead Evaluation through to Completion of AID/W PAR Begin (at start of 2nd week) 2nd Evaluation led by USAID PEO.	Lead Mission through Re-evaluation of Project Map out Revised PAR Advise During Replanning.
Time Required:	3 Days	1 Day	2-4 Weeks	1-2 Weeks

On-site assistance should follow soon after the cluster training, before there can be a deterioration in Mission interest and grasp of the PAR concepts. To accomplish this while keeping the size of the AID/W team at a manageable level, it is suggested that no more than 4 to 6 Missions be included in each cluster. Cluster training should require from three to five days, depending on the availability of participants and depth of coverage. A three-day course is outlined in the following.

Each Mission is to select a project to serve as the Mission demonstration project for introducing PAR improvements and send the manager of this project to the cluster training session. The purpose of the introductory training would be to provide the trainees sufficient exposure to and experience in using the Implementation Package to begin an evaluation upon their return to their Missions. This training should cover the following:

- The components of the Implementation Package and how they are used
- Another view of technical assistance -- the logical framework (presentation and case study)
- Developing end-of-project status indicators, output targets, and measures (case studies and exemplars prepared by the RPEOs)
- PAR review (simulation exercise)
- Strategies for phasing in PAR improvements at the Mission (presentation and panel discussion)

AID/W plans for reviewing the PAR and PROP submissions

Kinds of additional and continuing assistance that AID/W is prepared to provide.

b. Demonstration Evaluation (2-4 weeks)

Upon completion of the cluster training, the AID/W team should provide on-site training in each Mission by:

- Conducting a one-day seminar for Top Mission Management
- Leading a demonstration evaluation
- Briefing the Project Managers, division chiefs and other staff who did not attend the cluster training.

The role actually played by the AID/W team during the demonstration and briefings should be carefully managed in response to the capabilities of the Mission Evaluation Officer. Thus, the AID/W team should attempt to "phase-out" of its evaluation management role and encourage the local evaluation officer to take charge.

Important secondary purposes of the on-site work include identifying opportunities for further improving the system materials and training programs and obtaining examples for use as illustrations in subsequent Mission training.

c. Selected Follow-Up Mission Visit (1-2 weeks)

It is to be expected that the AID/W review of PAR submissions offer on-site training will reveal that some Missions have failed to grasp

the new PAR concepts. In any such cases, the RPEO should organize a follow-up visit to these Missions. The agenda for the follow-up team would be:

- (1) Lead a re-evaluation of a project for which an inadequate PAR has been submitted.
- (2) Map out the revised PAR submission and help the Mission think through replanning alternatives.
- (3) Develop an outline of an acceptable PROP for the project.
- (4) Report to the Director on the status of project evaluation and replanning at the Mission and reach agreement on explicit improvement objectives.

d. Composition of the AID/W Team

There are several agendas to be satisfied in selecting the members of the regional teams. First, the Regional Program Evaluation Officer may need a full-time assistant during the implementation effort, whether to represent him as team leader in the field or by remaining at AID/W. It is not advisable to establish a permanent position before determining workload required to manage the regional project appraisal system after implementation. However, the person detailed to assist the RPEO during implementation should be an acceptable candidate for continuing in that role if needed. Second, the USAID implementation effort should be used to train regional staff to operate the AID/W review process. Therefore, the regional team should include a representative from the area office or offices corresponding to the Missions being trained.

On-site experience is an essential input to establishing the technical assistance research and analysis function and is important for the staff bureaus who will be providing counsel and supportive services to the System Manager. Thus, regional teams will at times include representatives from the TA Bureau, PPC, and the AA/A staff.

Finally, the Implementation Manager should give consideration to providing an "Implementation Advisor" during the first round of on-site visits. The "Advisor" might at first play a major role in team operations and gradually phase-out during the first round by training the team leader. Use of "Advisors" during the first round would give the Implementation Manager a means for ensuring uniform interpretation of the system concepts and develop a reservoir of competence within each region to carry on subsequent rounds of training. If it is clear that the "Advisor" would not supplant the regional team leader, it is our feeling that RPEOs will value this type of assistance. (The proposed composition of the AID/W teams is summarized in Table 3-2.)

6. Revise the PROP Manual Order

Revisions to the PROP Manual Order are recommended (but not required) to support implementation of the PAR improvements. Ideally a new PROP Manual Order would be available for use by the Missions in the replanning phase of the improved PAR process -- that is, by the end of September at the latest. (Refer to Appendix D for a draft revised PROP Manual Order.)

TABLE 3-2

RECOMMENDED COMPOSITION OF REGIONAL IMPLEMENTATION TEAMSA. PERMANENT MEMBERS

1. Team Leader who is the Regional Program Evaluation Officer or his designee, and is responsible for scheduling and directing team operations and acting as lead trainer and on-site advisor to Mission PEO. (During initial operations, this might be the "Implementation Advisor".)
2. Trainer/On-Site Advisor who is an Area Office or Desk representative.

B. ASSIGNED AS NEEDED

1. Implementation Advisor assigned by the PPC Evaluation staff to assist and train the team leader during first round Mission training.
2. TA Research Analyst assigned by TARA Task Force to serve as advisor to one or two 1st-round implementation teams.
3. Management Planning Specialist assigned by AA/A to gather baseline data concerning USAID management in one or two regions during the first round cluster training. This Specialist may also be called on for assistance during follow-up visits.

7. Implement The Regional PAR and PROP Review Process

The RPEO should have responsibility for spelling out and training regional staff in the PAR review process for his region. Assistance in designing the PAR review process is to be provided by the PPC Evaluation Staff. PROP review procedures should be a natural by-product of the PROP Manual Order revision. The PAR review process should be in place by the end of September for use in reviewing the first "new PAR" submissions. Revised PROPs can be expected to follow within thirty days.*

Among the activities required to carry out this step, the following will be important:

- a. Define PAR review criteria--in effect, define the specifications of an acceptable "credible record".
- b. Organize PAR review panels. The structure and procedures proposed for these panels should build on the experience gained in reviewing PARs in the past. This experience suggests that panel membership should include the RPEO an Area/desk representative, cognizant DP staff and the appropriate ID specialist. The Area/desk representative might be the person involved in the on-site implementation effort.

*The PAR-Mission programming-PROP cycle implied by the PAR system will have to be abridged during FY 72. Otherwise, PAR results are likely to be obsolete before new PROPs are submitted. In subsequent years, we envision PARs being prepared in the third quarter and revised PROPs being submitted early in the first quarter of the new fiscal year.

- c. Define PAR response strategies and options. Advance thought should be given to the type of response that is practical and appropriate under various conditions. For example, when and in what circumstances should the region intervene at the Mission by sending out an on-site team?
- d. Lead the review of first-round PARs. The task of the RPEO in this case is as much to train the review panel as to assess the PAR.
- e. Establish a system of monitoring teams to conduct periodic on-site reviews of the Mission project evaluation process and provide remedial training as needed.

Similar activities will be required in establishing the PROP review process. Both the PAR and PROP review criteria and procedures should be examined closely on the basis of first round experience and refined as needed.

8. Implement TARA Prototype

While overall responsibility resides with the Implementation Manager, the Systems Design Committee may have direct responsibility, shared in this case with the TA Bureau, consistent with that organization's analytical mission. Data processing support will be needed from the Office of the AA/A.

The purpose of this step is to demonstrate the feasibility of performing useful analyses of evaluation data (including but not restricted to PAR data) and to establish appropriate AID/W organizational and operational capabilities for continuing the TARA operation. Work on the TARA prototype operation should begin immediately with the formation of the joint

PPC/TAB TARA Task Force. Interim analytical outputs should be produced by the end of October-Definitions of TARA organizations and processes should be available by the end of January 1971 to serve as the basis for phasing in a permanent TARA Process Manager by March 1971.

The activities to be carried out as part of this step are discussed below. (Refer to Chapter V of this Volume for a discussion of our findings and recommendations concerning TARA.)

- a. Develop a detailed plan for the TARA prototype operation. This plan should identify and schedule short-term research and analysis studies with high-payoff potential in terms of useful feedback to Mission personnel. The data base to be available will initially be that provided by the old PAR. New PAR data should become available in sufficient quantity for aggregate analysis during November.
- b. Recruit and train Task Force staff in the PAR system concepts. Initially, a two or three man staff of analysts should be sufficient if supplemented by contractor resources for specific studies. TARA staff should plan on participating in the general orientation and training to be provided the on-site implementation terms. After this familiarization course, there should be additional training that focuses on the analytical potential of the system concepts. To gain insight into the needs of Mission personnel a TARA representative should accompany a regional implementation team during the first round of on-site training.

- c. Develop a representative universe for PAR sampling. Definition of this universe should be based on a classification scheme compatible with the existing PAR data.
 - d. Code and file the PAR data* and, in doing so, establish the nature of the interface between TARA and the AID memory.
 - e. Conduct illustrative analyses of data, using data from PARs and such other sources as appropriate.
 - f. Define TARA processes and required organization capabilities.
 - g. Phase-in the TARA process manager.
9. Provide Analytical Feed-back to the Missions

Without waiting for the TARA prototype to become operational much that is useful can be done in the way of advising Mission personnel on useful indicators for hard-to-quantify outputs, sharing measures of progress found effective in one mission with others undertaking similar projects and, most important, developing representative descriptions of end-of-project status for classes of projects. Responsibility for this step should be assigned to the RPEO and regional ID staffs. Supporting technical expertise and analytical resources should be made available by the Technical Assistance Bureau.

*Data from 321 PARs received as of February, 1970 have been coded and stored in punch card form. These will be delivered to the Agency with this report.

Work on this can begin immediately and begin producing payoff for the Missions during the first cluster training in the form of exemplars and guidelines for quantification.

10. Establishing Evaluation Training

There are two principal target groups to be addressed:

a. Mission Evaluation Officers

This portion of the training responsibility should be assigned to the Program Evaluation Office consistent with its responsibility for maintaining and extending the system improvements. A home-leave training course for Mission evaluation officers should be established and underway by the end of November, thus capitalizing on the assessment of needs available from the on-site implementation teams. Support should be made available by the AA/A in the form of personnel development expertise and resources (Table 3-3 summarizes the Mission evaluation officer training needs identified during this study).

b. Project Managers

The AA/A has Agency-wide responsibility for management training and should therefore assume responsibility for upgrading the skills of Mission project managers. This training should be made available by including it within the basic project management course, to be given either at AID/W or, preferably, through on-site training. (This training of project managers would be consistent with the recommendations

TABLE 3-3

TRAINING THE EVALUATION OFFICER

Three types of training should be provided the Evaluation Officers:

1. Basic knowledge needed to initiate the evaluation process;
2. Skills needed to manage and report on the evaluation process;
3. Knowledge needed to serve as the focus of a continuing management improvement effort.

Topics of such training courses are briefly noted in the following:

Knowledge Needed to Explain and
Initiate the Evaluation Process

Defining a project in terms of its intended purpose and end-of-project status.

Scientific methodology and clarifying the link between outputs and purpose.

Project management.

Project "information systems."

Review of programming, planning, and budgeting concepts.

Skills Needed to Implement and
Maintain the Evaluation System

Group dynamics and meeting management.

TABLE 3-3 (cont.)

Skills Needed to Implement and Maintain the Evaluation System (Continued)

Minimizing the subjective elements of evaluation.

Quantification of the unquantifiable.

Crisp, precise, reporting.

Supplementary Knowledge Required To Sustain the Evaluation System and a Management Improvement Effort

Cost-benefit techniques and the PBS.

Analysis of incremental change.

Measuring institutional development.

Project management and planning.

(The above items of recommended supplementary knowledge are representative of the types of training that will be required. Enlargement or diminishment of this list should be considered after some training and on-site evaluation activities have been undertaken.)

NOTE: It is not necessary that the Mission Evaluation Officer be truly expert in the above "supplementary" techniques. It is necessary, however, that he be sufficiently conversant with such techniques that he can recognize their potential utility to specific circumstances.

of the Herder Task Force.)

Some economies, and greater value to the Missions, might be realized if the 5-day project management training course was combined with the on-site evaluation training and assistance described earlier. However, there would be considerable difficulty in finding training teams who were fully competent to deal with both subjects.

11. Develop a USAID Management Improvement Effort

The Herder Task Force reports, and the study team agrees, that Mission personnel, and particularly Project Managers, should upgrade their basic management skills. The improved PAR system can provide the entree for a management improvement effort addressing this need. Both the Mission Evaluation Officer, who provides an appropriate focus for introducing improvements, and the evaluation process, which should clearly reveal the management as well as the technical issues, can in fact be considered part of a now-planned management improvement (evaluation).

In view of the above, we recommend that the Office of the AA/A undertake a management improvement effort that exploits the evaluation process and the on-site review teams. Although such an effort is not necessary to implement the PAR improvements, it is sufficiently useful that we recommend that support be provided by the PPC in the form of feed-back on specific improvement needs identified during PAR implementation and the AID/W reviews.

Training programs to address specific management needs could be underway as early as September of this year. Specific activities required to mount a

Mission-level management improvement effort on the scale required include the following:

- a. Establish management skills required for effective USAID project management.
 - b. Develop tentative indicators of Mission competence in critical skill areas including project evaluation. Important among these will be the quality of the PAR and PROP submissions.
 - c. Establish data required to measure skill indicators -- decide how to exploit the PAR "credible record" for this purpose.
 - d. Accompany regional implementation teams and apply indicators to assess Mission management skills and response to PAR training. (This will also provide an opportunity to verify the study assessments of the PAR workload requirements.) After identifying critical deficiencies in Mission management skills, organize programs to correct these deficiencies.
3. Establish Mission-level skill development goals and monitor progress against them.

12. Hold Evaluation Training Conferences

On-site visits to all Missions will take time -- approximately eight months under an optimistic schedule. In the interim, all Missions must continue evaluating and replanning and do so using the revised PAR and PROP.

The Director, Program Evaluation Office, should assume responsibility

for providing introductory training to Missions in advance of the on-site visits through the medium of regional and area evaluation training conferences. The RPEO should schedule and organize these conferences around the on-site implementation program, beginning in Central America with the conference scheduled for San Salvador in September.

The following section presents a summary of the Action Plan roles and responsibilities for each of the key participants, accompanied by individual work schedules.

C. ROLES AND RESPONSIBILITIES FOR IMPLEMENTING PAR IMPROVEMENTS

This section describes the roles proposed for the various AID/W bureaus and offices in implementing PAR improvements and, subsequently, in operating the project appraisal system. Each role description includes a brief summary of the specific actions and outputs required of the key participants.

There are five key actors in the PAR implementation effort: (1) the PPC Evaluation Staff; (2) the Program Evaluation Office; (3) the Regional Evaluation Officers; (4) the Office of the Assistant Administrator for Administration; and (5) the Technical Assistance Research and Analysis (TARA) Task Force under the joint leadership of PPC and the Technical Assistance Bureau. Each is asked to serve in both leadership and supporting roles during implementation. The roles, output responsibilities, and required actions for each key actor are as follows:

1. Director, PPC Evaluation Staff

The Director, PPC Evaluation staff, consistent with his functional responsibility for designing and implementing improved evaluation systems, is Implementation Manager for the PAR system improvement effort.

a. Role

The role of the Implementation Manager is to manage and coordinate AID activities as required to successfully implement the improved PAR system by March 1971, at which time operational control of the system is to be turned over to the Director of Program Evaluation. Specifically, the Implementation Manager is to establish a Technical Assistance Project Appraisal System that ensures:

- (1) Mission-useful TA project evaluation
- (2) Reporting on USAID project evaluation that provides:
 - (a) a credible record of USAID management
 - (b) the data required to identify and analyze the factors influencing TA success
- (3) AID/W review and follow-up leading to improved USAID project management
- (4) TA research and analysis resulting in improved techniques and methodologies for planning, implementing and evaluating TA projects and programs.

b. Output Responsibilities

The Implementation Manager is responsible for ensuring that all outputs required for successful implementation of the PAR system are produced, although direct responsibility for producing them may be assigned to others. The major interim and final implementation outputs are:

- (1) Tested and refined USAID implementation package distributed to all Missions
- (2) Trained PEOs serving all Missions (with only exceptions due to turnover)
- (3) Trained, competent RPEOs serving all regions
- (4) One person in each Area Office, major desk, DP office, and ID program area trained in PAR-PROP review and follow-up
- (5) USAID monitoring teams functioning in all regions
- (6) Effective training programs for Mission PEOs and project managers (degree of effectiveness demonstrated be extent of continuing USAID demand)
- (7) PROPs and PARs for all TA projects using revised processes and forms
- (8) Operational capability to collect, process and analyze PAR data

- (9) Training programs and aids for defining and measuring indicators of achievement and quantifying output targets--for TA projects in general and for representative sectors
- (10) Tested and refined PAR and PROP review criteria
- (11) Procedures in all regions for AID/W PAR and PROP review and follow-up
- (12) Procedures for monitoring and modifying System operations

c. End-of-Project Status

The Implementation Manager is, in effect, manager of a project to improve the PAR system. Thus he is responsible for testing whether accomplishment of the output targets listed above has successfully achieved the project purpose as signalled by the following end-of-project status indicators:

- (1) TA project plans will, in most cases (90%):
 - (a) describe project purpose in terms that permit objective verification of achievement
 - (b) Express the casual linkage between targeted outputs and purpose in terms of a proposition that can be tested
 - (c) establish firm dates for final achievement of purpose
 - (d) expressly provide for managing the Host Country change process

- (e) include explicit provisions for collecting and reporting data sufficient to demonstrate achievement of purpose
 - (f) unequivocally define project management responsibilities in terms of verifiable output targets
 - (g) draw a clear distinction between implementing agent obligations and the broader USAID management responsibilities.
 - (h) define a verifiable project rationale in terms of the contribution that achievement of purpose will make to a higher USAID goal.
 - (i) schedule implementation actions with sufficient specificity to identify critical path items
- (2) TA project evaluations will, in most cases (70%):
- (a) reliably measure progress toward purpose
 - (b) systematically re-examine the linkage between targeted outputs and purpose
 - (c) determine and assess actual progress toward output targets
 - (d) identify causes for positive and negative deviations from plans
 - (e) seriously consider genuine alternatives to the project purpose, outputs and inputs
 - (f) define replanning actions required in response to significant deviations from plans and changes in project rationale

Table 3-4 presents the overall action plan and work schedule for the Implementation Manager.

2. Director, Program Evaluation Office

Coincident with the objectives of his office, the Director, Program Evaluation Office, is to serve as Manager of the PAR System.

a. Role

The role of the System Manager is to direct the operations of the PAR System. Specifically, the System Manager is to:

- (1) Ensure that the Regional Program Evaluation Officers comply with the requirements of the implementation plan.
- (2) Ensure that training courses and materials are developed as required to support the improved evaluation process and establish the basis for continued improvements in evaluation and management.
- (3) Provide policy guidance and direction to the Technical Assistance Research and Analysis Task Force (TARA).
- (4) Extend the PAR System concepts to include the programming process with orderly testing of developmental hypotheses at the country level.
- (5) Manage the operational project evaluation system, assuming responsibility as of February 1, 1971. Managing the overall system will entail:

- (a) maintaining and extending the system improvements introduced during the implementation
- (b) making such changes in the system as are needed to sustain or enhance its effectiveness
- (c) providing leadership and guidance to both the operators and users of the system.

b. Output Responsibilities

During the implementation effort, the System Manager is responsible for producing the following specific outputs:

- (1) Timely approval of the proposed system concepts and Action Plan, with such refinements as are necessary, and explicit commitments of the resources sufficient for implementation.
- (2) Trained competent RPEOs serving all regions.
- (3) Effective training program for Mission Evaluation Officers.
- (4) Evaluation training conferences in every region to provide general introductory training in improved PAR concepts.

3. Regional Program Evaluation Officers

The Regional Program Evaluation Officers (RPEO) serve as Regional System Managers for the PAR System.

a. Role

The role of the Regional System Manager is to:

- (1) Establish, in each Mission in his region, a project evaluation process that:
 - (a) Provides benefit to the Mission in the form of better plans, better projects, and better management
 - (b) Reduces the reporting load on the Mission by providing a once-a-year opportunity for answering explicit and implicit questions about TA projects
 - (c) Demonstrates to AID/W that the Missions are in fact fully competent to manage their projects, as evidenced by the insight and candor shown in the Project Appraisal Reports.
- (2) Monitor project evaluation in each Mission and provide assistance as required to improve the Mission evaluation process and clarify project design.

b. Output Responsibilities

Each RPEO is responsible for producing the following specific outputs within his region:

- (1) Trained PEOs serving all Missions (with only exceptions due to turnover).

- (2) One person in each area office, major desk, DP office, and ID program area trained in PAR-PROP review and follow-up.
- (3) A functioning USAID monitoring team conducting periodic on-site assessments of Mission project evaluation processes and providing remedial training as needed.
- (4) Tested and refined PAR and PROP review criteria.
- (5) Regional procedures for PAR and PROP review and follow-up.
- (6) Examples provided to the Missions of outputs appropriate to classes of project and suggested means for measuring these outputs.
- (7) A regional evaluation training conference to provide introductory training in improved PAR concepts.

4. The Office of the Assistant Administrator for Administration

In keeping with its organizational charter, the Office of the AA/A is responsible for forms and reports design, data processing services, personnel development, and the general Mission-level management improvement components of the implementation effort.

a. Role

The role of the Office of the AA/A is to:

- (1) Serve as advisor and staff resource in connection with:
 - (a) Refining, producing and distributing the USAID Implementation Package
 - (b) Establishing training programs for RPEOs and the Mission evaluation officers and project managers.
- (2) Mobilize a Mission-level management improvement effort including:
 - (a) Establishing reliable measures of Mission management skill levels
 - (b) Setting reasonable Mission management improvement goals
 - (c) Organizing programs to upgrade Mission management skills, particularly at the project level.

b. Output Responsibilities

The Office of the AA/A is responsible for producing the following outputs:

- (1) A catalogue of required Mission management skills
- (2) Standards for Mission management and means for measuring performance against these standards
- (3) An assessment of critical deficiencies in Mission management skills

- (4) Overall USAID management improvement plan and provisions for developing Mission specific improvement goals.
- (5) An effective training program for USAID Project Managers. (Effectiveness being demonstrated by Mission demand for the training.)
- (6) Periodic reports on Mission progress in achieving established management improvement goals.

5. Technical Assistance Research and Analysis (TARA) Task Force

The TARA Task Force is the joint responsibility of PPC and the Technical Assistance Bureau.

a. Role

The role of the TARA Task Force is to

- (1) Demonstrate the feasibility of performing useful analyses of evaluation data
- (2) Establish appropriate AID/W organizational and operational capabilities for continuing the TARA operation

b. Output Responsibilities

The specific interim and final outputs to be produced by the TARA Task Force include:

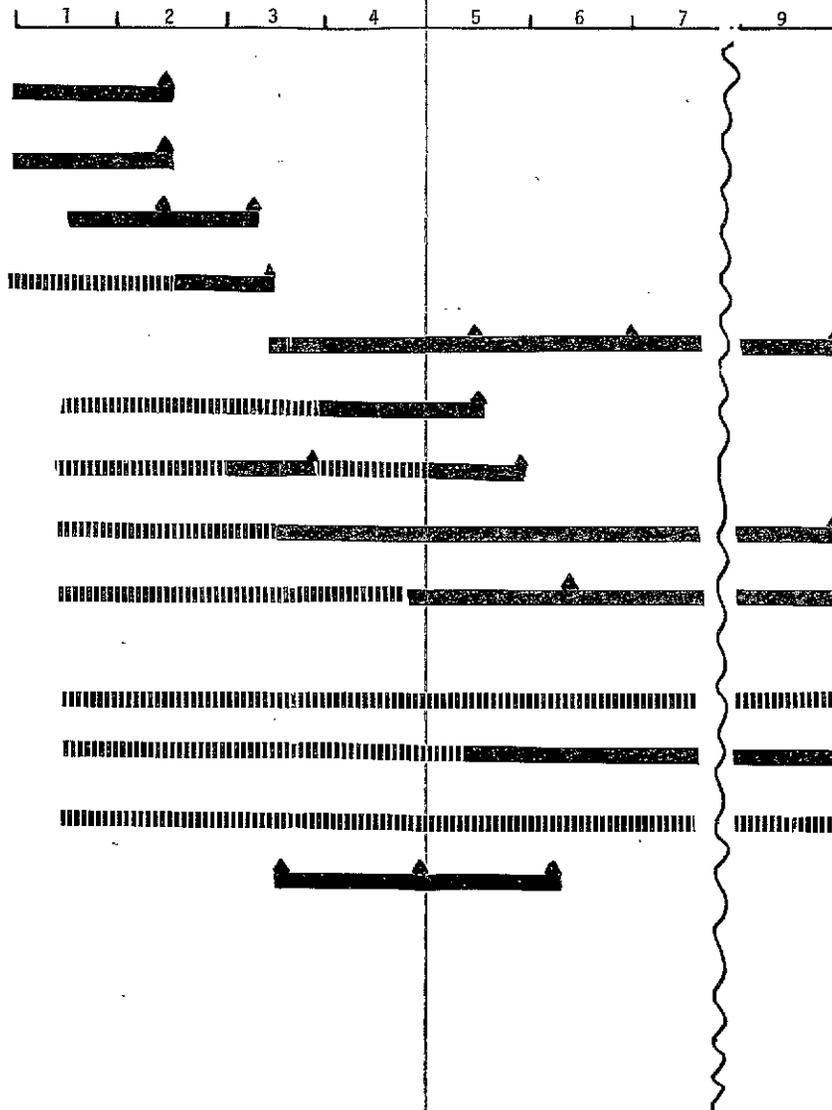
- (1) A data classification scheme compatible with existing and revised PARs
- (2) Data from existing PARs and those received through March 1971 coded and filed
- (3) A model of patterns and indicators of success for classes of TA projects that is judged useful by TAB analysts
- (4) Useful outputs from analyses of evaluation data (usefulness will be judged by whether non-trivial decisions or actions result from the data)
- (5) Definitions of TARA processes and organizational structure, including interfaces with regional ID groups, the AID memory and the AID/W programming process.

TABLE 3-4

OVERALL ACTION PLAN AND WORK SCHEDULE
FOR THE IMPLEMENTATION MANAGER

MONTHS AFTER START OF IMPLEMENTATION

1. Initial Orientation of AID/W Staff
2. Refine and Distribute USAID Implementation Package
3. Train AID/W Regional Evaluation Officers
4. Develop Initial USAID Evaluation Training Aids
5. Provide On-site Implementation Assistance
6. Revise PROP
7. Implement Regional PAR and PROP Review Processes
8. Implement TARA Prototype
9. Provide Analytical Feedback to Missions
10. Establish Evaluation Training for:
 - a. Mission Evaluation Officers
 - b. Project Managers
11. Develop USAID Management Improvement Program
12. Hold Evaluation Training Conferences



CHAPTER IV
THE STUDY FINDINGS

A. INTRODUCTION

In the preceding chapters of this volume, we have set forth the requirements for an effective AID Technical assistance project appraisal system and outlined the specific improvements needed to bring the existing AID system up to these requirements. In addition, we have recommended specific roles and action responsibilities for AID/W and the Missions in implementing the needed improvements. In this chapter we present the findings on which our recommendations are based.

As outlined in the description of the study approach contained in Chapter I, our data-gathering efforts focused on:

- Characterizing USAID processes for evaluating TA projects and determining the role played by the PAR in creating and shaping these processes.
- Assessing the PAR as a reporting vehicle; more specifically, testing the validity, utility, and relevance of the information communicated by the PAR and the efficiency of the PAR form as a device for collecting, storing and retrieving evaluation data.
- Identifying the salient characteristics of the PAR environment, including USAID management practice, the nature of TA projects and plans, and the attitudes and skills of USAID and AID/W

personnel who use the PAR and determining the impact these factors have on the operations of the PAR system.

In the remainder of this introductory section, we summarize our findings concerning the effects of the PAR on USAID and AID/W management and its performance as a reporting device. In addition, we outline some of the fundamental management issues confronting the Agency in its effort to upgrade technical assistance project management and evaluation, and we briefly assess the costs and benefits of the improved PAR system.

1. The PAR as the Initiator of an Evaluation Process

In the majority of the Missions we visited, the PAR has created and (at least in the short-term is sustaining) a Mission-useful project evaluation process. Contrary to our operating assumption, we found that prior to introduction of the PAR, there was no systematic evaluation process in place at any Mission we visited. The statement that "we evaluate continuously" generally referred to the fact that the Missions were concerned about their projects and would involve themselves in their monitoring and management. In particular, the issue of project significance was very rarely raised in an actionable framework -- that is, raised in such a way as to imply appropriate replanning activities or actions.

Thus, we have concluded that systematic project evaluation, as currently defined and practised by AID Missions, was created by the PAR. Further, it appears that the thought processes initiated by the PAR can have a cumulative effect on USAID management practise and attitudes. It was not

unusual to observe USAID management evolve from a position of outright hostility toward the PAR requirement to a mild but real consensus that PAR benefits can, and probably do, exceed its cost to the Mission. At the same time, we found evidence that the capacity of the PAR system to sustain an effective Mission-level process for evaluating technical assistance projects is limited unless AID/W takes decisive action to improve the system and clarify responsibilities for managing it.

We have identified three key variables that have influenced PAR impact on the Mission. First, and perhaps most important, is the role and competence of the Mission Program Evaluation Officer. Where the Mission PEO (a) adopted the approach of managing the Mission project evaluation process to produce better project plans; (b) was successful to some extent in educating the participants in the PAR process in both evaluation techniques and the fundamentals of project design; and (c) served as a reporter and recorder of evaluation results, the PAR was most likely to promote beneficial changes in TA projects.

The second factor of importance was the willingness of Mission management to insist on a rigorous evaluation process and to give appropriate attention to the issues raised in the course of that process. Where this willingness was not evident, problems of long-standing and real importance were seldom raised above the project level and the evaluation effort focused on "what do we say in the report?"

Third, the leadership provided by Regional Bureau management has had a direct and measurable effect on Mission response to the PAR. A hostile or

indifferent attitude toward the PAR at the regional level resulted in pro forma compliance by the Mission. This kind of non-constructive Mission response to the PAR was reflected in several ways. PARs were submitted late or not at all. There was a tendency to delay indefinitely applying the PAR requirement to important areas of TA activity that the Mission found difficult to understand and explain. Finally, there was a marked tendency to be unduly generous in rating project success.

The PAR form has been poorly received. First, it is complicated. Second, the form appears more complicated than it is because it does not ask questions of the the type and in the order that makes the logic of evaluation clear. Third, it is redundant throughout and this redundancy is heightened by the fact that the intended uses of PAR data are not clear. Project Managers anticipate "worst-case" uses of such data and provide additional verbiage to protect against potential misunderstandings and misapplications.

From the standpoint of what is truly important to the evaluation process -- that is, whether or not our projects are having development impact -- the PAR is particularly deficient in not requiring a clear relationship between project outputs and the higher goals. This was more frustrating to the preparers of PARs than it was to its readers. It is a benefit of the PAR that its preparation initiated useful dialogue about the lack of connections between outputs and goals. It is a severe failing of the evaluation system, and of project design, that this dialogue was in no case, in the 63 projects we studied, fully resolved.

In summary, the Mission response to the project evaluation requirement was generally positive; to the PAR as an instrument it was negative. Where Missions and individuals took the PAR process seriously, and invested management energies and attention, PAR preparation was beneficial to the Mission. Where the response was pro forma and aimed at sending some kind of report to AID/W, the evaluation process was sterile and of questionable value to either the Mission or AID/W.

2. The PAR as a Report

The PAR is a poor report to Mission management and because of its apparent complexity and lack of action orientation, it is a particularly poor report to the Mission Director. While more useful as a report to lower levels of Mission management, there is limited recognition of this utility.

In most cases the PAR sent to AID/W candidly and accurately reported the Missions' perception of the project. However, of the PARs we received, one-third of those accurately reported the Mission view of the project, but still failed to identify issues that, on the basis of on-site review, proved critical to project success.

Formal mechanisms for reviewing PAR submissions were not in place at AID/W as of the start of this study, although coherent plans are now evolving. The most important aspect of these plans is their focus on the Mission process revealed by the PAR report rather than on the substance of the project itself. This focus, and the processes being developed to support it, reflect a growing awareness by AID/W that improving USAID project evaluation and using evaluation reports to appraise Mission management

practise offer maximum leverage for upgrading AID technical assistance. The PAR system improvements discussed in previous chapters are intended to reinforce this view by making the PAR report a more insightful and reliable record of Mission management processes.

3. PAR Data as Input to Analysis

While there are important analytical uses of evaluative data at the Mission level, it is not yet clear how the PAR has influenced this analysis. In the cases where we observed serious attempts at the Mission level to aggregate PAR data, the aggregation proved of limited value to the Mission. However, from the perspective of this study, the analysis was useful by pointing out and investigating apparent internal inconsistencies in PARs and finding they reflected real differences of emphasis. These findings affirmed that PARs had been filled out in good faith and suggested that the deliberate redundancies in the PAR cannot be relied on as measures of PAR candor and accuracy.

Our own analysis of PAR data has produced results that are inconclusive but sufficiently interesting to suggest that further analysis would be productive, at least on a pilot basis. In particular, our findings suggest that some popular concepts about factors influencing the success of technical assistance projects may not bear scrutiny. Findings produced by our analysis of PAR data are presented in a later section of this chapter. Issues concerning the appropriate direction for future PAR analysis are discussed in Chapter V of this volume.

4. Some Underlying Issues

The critical problems confronting AID project evaluation do not arise from imperfections in the PAR document and system. Rather, they stem from inadequate project planning and deficiencies in applying the concept of project management. USAID managers lack the logical framework required to define TA projects in terms that permit objective verification of success. In the absence of such a framework, useful evaluation -- that is, evaluation that produces new project plans with increased confidence in successful completion -- is enormously difficult, if not impossible.

Much of what is needed for the PAR system to function effectively is now in place. Most of the larger Missions have designated Program Evaluation Officers who, with training, are competent to manage the local project evaluation process to produce Mission-useful outputs. Equally important, the PAR has helped build acceptance among USAID personnel of the concept that systematic and periodic evaluation is an important and integral part of sound management. This perspective, which should be regarded as a highly perishable by-product of PAR implementation, is an important prerequisite for further improvements.

5. The Costs and Benefits of the PAR

The process initiated by the PAR has provided benefit in excess of costs for the majority of the Missions we visited. This assessment is based on the perceptions of the individuals who participated in the PAR process as well as on the independent judgments of our study team. It is significant

that 60% of those who participated actively in the PAR process felt that benefit exceeded cost, whereas only 19% of those who observed the process from a distance felt that benefit exceeded cost.

A more important conclusion of our study of the PAR process is that the process could have delivered benefits that exceeded costs in each of the Missions that were visited. The PAR is not an easy document to work with and a relatively high investment of professional time was required before benefits were realized. However, where that threshold investment was made, the benefits produced appear to have exceeded the costs. The cost-benefit ratio was unattractive only where PAR compliance tended to be pro forma. As a general rule, if the Mission did not take the PAR and the evaluation process seriously, then the PAR had little value for AID/W and even less for the Mission.

In view of the above, and in light of the opportunities to simplify the PAR as a report and to make the evaluation process more comprehensible to Mission management, it is the conclusion of this study that project appraisal reporting is worth doing. Further, it is worth doing well, and can be done well within the existing organizational and resource constraints. The detailed findings to support these conclusions are presented below under the following headings:

- The Mission Response: The PAR as the Initiator of an Evaluation Process
- The PAR as a Report: Its Efficiency, Validity and Utility

- Some Underlying Issues: Design and Management of Technical Assistance Projects.
- The Costs and Benefits of the PAR System.

B. THE MISSION RESPONSE: THE PAR AS THE INITIATOR OF AN EVALUATION PROCESS

"We evaluate continuously.

"We had a very useful evaluation exercise performed about three years ago.

"The PAR made us think through projects with a little more care than before.

"The PAR is a very good idea which opens eyes to the shortfalls. ...it should be done every year."

Consistent with the detailed Work Plan submitted on September 2, 1969, we approached each of the 13 Missions we visited with the operating assumption that, prior to imposition of the PAR requirement, there had been in place a process for evaluating technical assistance projects that was responsive to Mission needs. It was our intention to measure the degree to which the PAR supported or was redundant to the existing Mission process. With this information, we would have the basis for specifying the modifications needed for the PAR process to conform to Mission practise, and thereby become a relatively low-cost by-product of the existing Mission-useful process.

Contrary to our operating assumption, no Mission we visited had practised a systematic approach to project evaluation prior to introduction of the PAR. In examining the USAID approach to project evaluation that preceded and, to some extent, coexists with the PAR, we found the following:

- The Missions say, "We evaluate continuously." It turned out that "continuous" project evaluation consists of monitoring on-going project operations. In the absence of a systematic process and lacking objectively-verifiable output targets, USAID evaluation has necessarily been confined to identifying critical, time-urgent problems and dealing with these on an ad hoc basis.
- Basic assumptions about project design and relevance to higher goals were generally exempt from periodic critical analysis. As a result, projects tend to drift away from their original purposes.
- A few projects were subject to constant scrutiny, others were never questioned. Those passed over by the Mission were not necessarily the projects least vital to U.S. objectives. At times, these projects were so central to the Mission program and accounted for such a large portion of the total technical assistance effort that they had achieved a position above reproach.
- "Continuous" evaluation has seldom produced any payoff in the form of replanning action beyond that needed to weather an immediate crisis. Basic causes of project difficulties are either not addressed or are regarded as outside the management responsibilities of the evaluator.

Given what preceded the PAR, we have concluded that, to the extent that AID Missions have adopted a systematic approach to project evaluation this approach was clarified and, in most cases, generated in response to the PAR. Thus, PAR redundancy with Mission practise has not been an issue of concern to this study. Rather, since the PAR has in fact defined the existing Mission evaluation process, the important design issue we have faced has been to identify and build into the PAR concept and process those features required to enhance and sustain its capacity to initiate Mission-useful project evaluation.

The insight we have gained into the PAR impact on Mission management practise is based primarily on data gathered in the Near East South Asia and East Asia Missions. Through discussions at the Regional Evaluation Conference for Latin America and subsequent visits to Latin American Missions, we were able to demonstrate that our initial findings are fully applicable to Latin America. During our visits to Africa Missions, we focused on field-testing selected PAR improvements rather than collecting additional data describing PARs and projects. However, our observations during these visits and discussions at the Africa Regional Program Evaluation Conference have satisfied us that our findings can be extrapolated to Africa. In short, we have concluded that Mission response to the PAR did not differ in any important aspect between regions. Thus, we are confident that the findings presented below accurately characterize the results of PAR implementation in AID Missions in all four regions. In addition and also based on this data, we have concluded that a uniform PAR requirement is both feasible and desirable.

The desirability of a uniform requirement is only partly based on the importance of having comparable data on all subjects for analytical purposes. It much more importantly reflects the need to standardize and improve project management.

At each of the Missions we visited, we collected data in response to six questions:

- (1) What has the Mission done to implement the PAR requirement?
That is, what procedures have been devised, how have responsibilities been defined and allocated, and what workload has been generated in preparing and reviewing the PAR?
- (2) What impact has the PAR process had on technical assistance projects and the Mission personnel responsible for managing them?
- (3) What has been, and should be, the role of the Mission Program Evaluation Officer?
- (4) What can be learned from the PAR experience to date concerning the appropriate role for Host Country officials in the Mission evaluation process?
- (5) What has been the net value of the PAR to Mission management -- is it worth doing?
- (6) Is the PAR report useful and cost-effective and does it reliably and accurately report on the issues of importance to technical assistance projects and managers?

Our findings relative to the first five of these questions are presented below. The PAR as a report is discussed in the following section.

1. Implementing the PAR Requirement

This section discusses the initial steps taken by the Missions to implement the PAR Manual Order and presents basic descriptive data concerning the way in which responsibilities were assigned and carried out in filling out and reviewing the PAR document. The additional workload incurred by the Mission as a result of the PAR requirement is also discussed. These data are necessarily approximations, and while generally representative of what we found in the 13 Missions for which PAR "process" data were obtained, do not capture some important variations in the Mission response to the PAR. Deviations from the norm are noted where it is felt that they are of particular importance in understanding the PAR process at the Mission.

a. Introduction of the PAR requirement

There are some important lessons to be learned from AID experience in introducing the PAR -- lessons that bear on the approach used to implement PAR system improvements. Our findings concerning Mission experience in introducing the PAR requirement are presented below. The implications of these findings for planning the implementation of PAR system improvements are discussed in the opening section of Chapter III. An Action Plan for Improving the PAR System.

(1) In all cases, the absence of sufficient guidance from AID/W led to inefficiencies in Mission PAR implementation and wasted

valuable professional time. Lacking clear examples of acceptable PARs, most Missions struggled through numerous iterations with the first PARs prepared as they evolved their own definition of "acceptable."

In particular, the Mission Program Evaluation Officers received inadequate orientation to the PAR document and procedures and thus, were poorly prepared to train Mission personnel in their use. Moreover, the Program Evaluation Officers, where they had been appointed, were new to their positions and Mission management had not yet defined clear expectations for their role and performance.

The PAR process assumes the existence of a project defined at the "unit of management" level with a clear assignment of project management responsibilities. In most Missions this was not the case at the time the PAR was introduced and in more than a few, this situation has not changed substantially since that time. Mission personnel are without a generally accepted logical framework for defining projects and assigning project management responsibilities. Since the PAR implementation guidance from AID/W did not address this issue effectively, the focus of the PAR evaluation has often been ambiguous.

(2) The pace of PAR implementation failed to take into account the rate at which Mission personnel can absorb significant changes in management practice. Many, and perhaps a majority of, the Missions we visited feel that the pace of PAR implementation--the requirement

to cover all eligible projects during the first round -- was unrealistic and did not allow them to give adequate attention to individual projects. To complicate matters, some Missions feel they received confusing and contradictory advice from AID/W concerning the timing of PAR implementation. Guidance on whether to prepare PARs in advance of PIPs and PROPs was also felt to be ambiguous. It is difficult to assess with precision the effects of inadequate implementation assistance on the quality of the evaluation process and the PAR report. However, it is clear that a relatively high price was paid in terms of scarce personnel resources. While we did not find that the total time spent per project during the first-round PARs was inordinate, the evidence suggests that the benefits received by the Mission from their investment of time and management attention were less than they could have been, in some cases substantially so. (This issue is discussed in greater detail later in this chapter.)

(3) Ambiguous and, in some cases, non-constructive guidance from regional management provoked a pro forma Mission response to the PAR. Project Managers received little guidance other than a deadline for completing the PAR report. Mission reviews were perfunctory and focused on "what shall we say" rather than on the real issues concerning the project. In one region where AID/W management adopted an indifferent, if not hostile, attitude toward the PAR, not one project was rated below satisfactory

in overall achievement. In Missions where pro forma compliance was the rule, the PAR was a high-cost, no benefit experience.

(4) Mission efforts to anticipate the interests and needs of AID/W PAR users led to costly redundancies in PAR submissions. The intended AID/W uses of PAR data were, and remain, unclear to the Missions. (To some extent, these redundancies are also a product of the PAR design, which is discussed later in this chapter.) Mission personnel tended to anticipate "worst-case" uses of PAR data and provided additional verbiage to prevent misunderstanding and misapplications.

(5) Lacking uniform guidance and procedures from AID/W, the Missions developed PAR processes tailored to Mission management style and custom. In some cases this meant gross misinterpretations of the PAR requirement and intent. In at least one Mission, the PAR preparation procedures developed locally dispensed with consideration of project significance in clear violation of the intent of the PAR Manual Order. A mitigating factor in this case was that the Mission had sought guidance from AID/W and received a response that seemed to encourage pro forma compliance with the PAR requirement. On balance, however, the development and evolution of a Mission-unique evaluation process will have long-term benefits resulting from internalization of the evaluation process down to the Project Manager level.

b. Preparing the PAR

Major responsibility for filling out the PAR was assigned at the project level or higher in 33 of the 43 projects for which we collected this data. Somewhat surprisingly, nearly 20% of these (8) were filled out at the sector level or higher. While we do not fully understand the significance of this latter figure, our data suggest that PARs were prepared at this level under three conditions. First, division heads prepared PARs when project-level personnel were not available because of home leave or other reasons. Second, when the only project-level staff were contractors or PASA personnel, the Mission sometimes decided that project evaluation was a fundamental USAID responsibility and should not be delegated to PASAs and contractors (and appropriately so in our view). However, 30% of those with major responsibility for preparing the PARs we studied were PASA or contract personnel.

In a few cases, responsibility for all documentation was located at the division level in order to free Project Managers of "paperwork" responsibilities so they could give full attention to operational matters. (The findings presented under 2. The PAR Process: Its Impact on Missions, Projects and Managers suggest that, when handled in this fashion, the PAR provided little insight to the Project Manager -- the man who most needs such insight.) Table 4-1 shows how responsibility for PAR preparation was assigned to levels of USAID management and types of personnel (Direct Hire, etc.) for the 43 projects.

The PAR preparer typically found it necessary to seek information from sources outside the project staff and files. In a number of cases, there was extensive consultation with other non-technical USAID management (particularly the Program Office), Host Officials, contract personnel and PASAs. The incidence of substantive consultation -- that is, going beyond a request for statistical data -- for the 42 projects for which we have data was as follows:

<u>Consulted With</u>	<u>No. of Projects</u>
Host Officials	3
PASAs	7
Contract Personnel	11
Program Office	33

Based on our reading of well over 100 first-round PARs and interviews with Mission personnel, we found that the sections of the PAR document were usually completed in the following order and manner. (Table 4-2 summarizes these comments in checklist form.):

(1) Part A-1 General Narrative Statement on Project Effectiveness, Significance and Efficiency. Despite the guidance on the PAR form suggesting that it be prepared last, a rough draft of this section was often prepared first in order to bring the project up-to-date. For many projects this was the first and only complete statement tracing its origins and evolution. This narrative tended to present past events and future plans as a logical, orderly evolution of the project. Only rarely was there explicit mention of changes in project direction as

such and in response to unforeseen developments. The issue of project efficiency is not well understood and most often is simply omitted from the discussion.

An acceptable level of effectiveness and continued project significance are most often simply asserted with little or no supporting evidence provided (here or in subsequent sections).

It typically was a time-consuming process to develop this history, and often involved contacting host personnel and others who had been previously associated with the project. Both project staff and others within the Mission found value in recreating such a history, but there was quite properly some question as to whether the value justified the substantial cost. (On several occasions, project management felt that the benefit of the narrative history was higher than did our study team. The difference in assessments appears to be caused by the fact that technical management appropriately values insight into projects for its own sake, whereas our viewpoint was that knowledge is useful only if it results in constructive action.)

(2) Part I-C.1 Relation to Sector and Program Goals (and supporting narrative). The goals listed here are obtained from a variety of sources and are usually modified in some fashion for inclusion in the PAR. For 32 of the 43 PARs we reviewed at the Mission level, we were able to establish the source of the goal statements with some certainty. In 12 of these cases, the goals listed in the PAR were obtained

from the Program Office, sometimes being filled in before the PAR document was given to the PAR preparer. Other sources of goal statements included the Country Field Submission (3), the Program Budget Submission (6), and other documents (3). In 8 cases, suitable goal statements did not exist at all and were developed through a dialogue within the Mission, usually centering around the Program Office. (A similar dialogue quite often developed in extracting goal statements from existing documents and modifying them for presentation in the PAR.)

Three facts concerning the goal statements listed in the PAR are worth noting:

- Few, if any, project managers were familiar with the higher goals their projects are expected to serve
- The PAR created a useful dialogue about higher goals within the Mission in a minimum of 25% of the cases. Our on-site observations suggest that the actual percentage is much higher,
- The relationship between the PAR goal statements and the project output targets was, in no case, made explicit by the PAR. Moreover, the goals listed in the PAR ranged from sweeping generalization with little value as guidance at the project level down to expected performance levels for input categories. (Refer to Appendix C for a listing of the goal statements from the projects included in the study sample.) Thus, while the PAR created a dialogue about project significance, in no case among the projects we studied was this dialogue successfully concluded.

(3) Part I-C.2 General Questions. Most responses to these questions were negative, except:

014 "Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?" (54.2% affirmative)

017 "Have important lessons, positive or negative, emerged which might have broad applicability?" (59.8% affirmative)

019 "Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?" (47.9% affirmative)

We see no particular significance in these statistics except that, in retrospect, it appears logical that they would receive more affirmative response than the other questions in this section. It is significant that the "important lessons" referred to were not always apparent upon reading the PAR.

(4) Part II-A.2 Overall Timeliness. This section was sometimes completed before the PAR preparer had finished Part II-A.1 which plots the status of individual action steps in relation to plan. In any case, interviews with PAR preparers suggest that the entry in this section reflects a more or less informal judgment rather than a systematic or "critical path" determination, even where PIPs were available.

(5) Part II-B Resource Inputs. A complete summary of the responses to these checklists is contained in ^{Exhibit A Appendix 10'S A-1} together with the average

ratings for projects receiving negative responses where the frequency of negatives exceeded 10%. The relationship between frequent negative replies and project success that is suggested by this data is discussed later in this chapter and in Chapter V: Research and Analysis with PAR Data.

In discussing this section with those who filled out the PAR, we discovered that many of them found it necessary to interact extensively with others in deciding on the appropriate answer but few felt that their knowledge of the project had been advanced.

(6) Part III Role of the Cooperating Country. This section generally involves the least discussion with others; except when host performance is such that action is needed. More negative responses are recorded in Part III than anywhere else, yet management action is seldom called for in the accompanying narrative. In part, this reflects confusion over shortcomings that impact on achievement of output targets versus those that are to be overcome by the project. There is seldom a clear understanding of this distinction at the Mission, but where there is, those who filled out the PAR chafed at the ambiguity of the PAR on that question.

(7) Part I-B.1 Output Report and Forecast; Part II-A.1 Individual Actions. Work was usually started on these two sections early in the process but not completed until near the end, because PIPs were not available. As a result, these sections were difficult and time-consuming to prepare. The primary problem concerning content was the inability to establish an explicit relationship between the work schedule and output targets.

(8) Part I-B.2 Overall Achievement of Targets. This assessment of overall project success was intended to report on effectiveness in meeting "targets." It is not clear at what level -- inputs or outputs or higher goals -- performance is to be measured. We observed a tendency for Missions to become involved in questions of project significance while discussing this entry, which was often the focal point for the Mission PAR review discussed in the next section.

(9) Part IV Programming Implications. Potentially the most valuable section because it asks about replanning, Part IV is usually not paid a great deal of attention often because entries were redundant with other narrative.

The PAR form is designed with the reader in mind, and is not meant to serve as a guide for the Mission evaluation process. Most of those filling out the PAR found it necessary to depart from the sequence of the form in conducting the project evaluation. Neither the PAR sequence nor that adopted by the PAR preparers we spoke to amounts to a coherent evaluative logic that builds on successive layers of conclusions and culminates in replanning decisions.

A final note on PAR preparation: the sections of the PAR requiring the greatest investment of Mission time to fill out -- and AID/W time to read -- are not necessarily those offering the greatest insight (e.g., Part I-A General Narrative Statement).

c. The Mission PAR Review

We measured participation in the Mission PAR review in several ways: first, by the highest level in the Mission that participated in more than a perfunctory review; second, by the number and types of people -- AID and non-AID -- who participated, and third, by the amount of time invested in the review by all who participated.

Of 41 projects for which we obtained this data, seven (17%) received no more than a perfunctory review above the project level. For 17 of the projects (42%), technical division chiefs were the highest level of serious review. The remaining 16 (41%) were reviewed above the level of technical management. We found only three cases in which PASA personnel took part in the review and 5 in which contract personnel participated. Only one Mission had established formal procedures for Host participation in the PAR review although several others said they usually presented a draft of the PAR to the Host counterpart before conducting the Mission review.

While active participation in the PAR review was generally restricted to USAID personnel, the results of the evaluation and review were shared with others with marginally greater frequency:

<u>Evaluation Results Discussed With:</u>	<u>No. of Projects*</u>
Host Officials	2
PASAs	7
Contract Personnel	10
Program Office	26

* Non-add; in several cases results were shared with two or more of those listed.

The issues that generated the most interest during the PAR review were:

- The rating of overall achievement of targets in Part I-B.2 of the current PAR. Contrary to expectations, higher levels of Mission management tend to give projects higher performance ratings (that is, consider projects more successful). Technicians and Project Managers tend to give projects lower ratings -- that is, consider them less successful.* Some causes of this phenomenon include: those close to a project expect more of it; the technicians tend to be somewhat uneasy as to the validity/utility of what they are doing; the enhanced ability of upper management to see large-scale but subtle changes; and editorial constraints.)
- Problems concerning implementing agents and host relations. Quite often these problems had been "lived with" for a long time, principally because their solution was perceived by the Project Manager as beyond his control. The PAR review afforded an opportunity to raise these issues to the appropriate level of management attention.
- The project completion date. In at least two Missions, the debate over setting target dates for completion was the major source of real insight into project relevance and priority. In at least one case, this debate led to the decision to phase out a project that had been underway for over ten years.

There were basically two types of review processes employed by the Missions we visited. The characteristics and apparent strengths and weaknesses of each are as follows:

* PARs rated by technicians had an average rating of 4.0, those rated by the Program Office averaged 4.75.

(1) The PAR review panel typically involved a meeting of technical and non-technical management who either were informed concerning the project or who were influential in Mission decision-making. Panel members typically included technical management, the Program Office, the Controller in many cases, and the Director or his deputy. The normal method of operation for these panels involved circulating the draft PAR several days in advance of a meeting to discuss the project and the issues raised in the PAR.

Several problems were encountered in the operation of these panels. First, they were not always able to function free of hierarchical constraints -- the presence of the Mission Director or other top management officials sometimes acted to suppress the free exchange of ideas. Second, on the basis of observations at the Missions we visited and at the regional evaluation conferences, we have concluded that AID officials simply do not know how to run a meeting. There is seldom an agenda that is agreed to in advance, that defines outputs for the meeting at a realistic level, and that is adhered to. In part because there is no agenda, participants are typically not well prepared to provide the inputs needed for the meeting to be productive. Third, the PAR report got in the way of the project issues. (This was true of PAR preparation as well as all other approaches to the PAR review.) When such tough issues as project significance were encountered, the review panel discussion almost inevitably focused on "what shall we say in the report" rather than on "what shall we do about the issues before us."

Where the panel approach to the PAR review was used, it appeared to bring greater value than other approaches, despite obvious deficiencies in its application. Decisions about projects were likely to take into consideration both the project's relevance to the overall Mission program goals as well as with related technical assistance projects. The panel, with its members functioning singly or in a group, acted as a forum for informed Mission opinion concerning the project and typically provided the project manager new data and a new perspective for replanning the project.

(2) Chain of command review involves passing the PAR upward through the technical management chain of command to the higher levels of management without substantial input from others, particularly the Program Office. While this type of review worked well in some cases in the sense that needed changes were made in projects, it usually suffered from a lack of a perspective broad enough to encompass non-technical issues and innovative solutions. Technical division chiefs have taken positions on most project-related issues during the year. It is asking too much to expect the project manager or the evaluation process to overturn the established view of his superior if the context of the evaluation dialogue remains entirely within the technical organization.

d. The PAR Workload at the Mission

Table 4-3 estimates the man-days required to conduct an effective project evaluation using the PAR. The estimates for the old PAR

are based on discussions with USAID personnel. Table 4-2 presents similar estimates for the new PAR. Estimates for the new PAR are extrapolative from our Africa test experience. Time did not permit us to observe the new PAR process carried to its conclusion in replanning decisions. We were also unable to complete preparation of the revised PAR document. Thus, the Table 4-3 estimates are necessarily extrapolations from incomplete data and need to be verified during the implementation of PAR improvements.

The PAR preparation workload reported by the Missions we visited varied considerably over a range from two hours to three man-weeks. Over 60% of the PARs we studied required at least three days and less than a week to prepare. PAR review typically required less than one day but involved two or three people.* As indicated in the earlier discussion of the PAR review, the reviewers probably did not invest adequate time in preparing for the review to maximize the value of the actual review. Conscientious USAID Evaluation Officers spent an average of one full week on each PAR, usually spread over a three-to four-week period.

Much of the time used in preparing the initial round of PARs was spent in refining project plans to develop a suitable evaluative framework. The workload was greatest where no PROP or PIP had been prepared. Thus, some portion of the costs associated with PAR preparation should be charged to the planning process rather than

*Evidence suggests that a ratio of reviews to evaluators below 2:1 indicates a perfunctory review process.

evaluation.

In a few cases, the Missions we visited had begun preparing second-round PARs. In every case, there appeared to be a substantial -- perhaps 50% -- reduction in workload. This reduction was principally in the time required to produce an acceptable draft PAR for Mission review. Less time was also spent reviewing second-round PARs. To some extent, the reductions in second-round PAR costs reflect the elimination of start-up expenses such as gaining familiarity with the PAR concepts and procedures. However, in some cases we found that costs are being reduced by eliminating key steps in the process or performing perfunctory reviews.

The results of our field test of the new PAR system in three Africa Missions suggest that clarifying project plans will continue to account for a significant portion of PAR costs over the next year -- the time we estimate it will take to extend the recommended PROP improvements to all TA projects. Even with substantial AID/W assistance, it seems reasonable to plan on at least two PROP iterations to develop acceptable project plans.

The Africa field tests also suggest that the Mission review should continue to play an important role in USAID project evaluation. In addition to preparing and reviewing the PAR, there is typically a cost of 1-2 days of revising and refining drafts and preparing the final report. This workload often falls to the Program Evaluation Office and appropriately so if he is to serve as the Mission process

manager. It is our judgment that PAR costs can be reduced substantially in the first two years. However, our Africa tests suggest that if Mission time spent on evaluation is substantially reduced over a shorter period, there is a strong likelihood that quality will be sacrificed.

2. The PAR Process: Its Impact on Technical Assistance Projects and Managers

At the beginning of this section, we reported that the PAR, for all intents and purposes, has created a process at the Mission level for the systematic and periodic evaluation of technical assistance projects. In the discussion just concluded, we described in "physical" terms how the PAR process has functioned: who performs what operations, in what order, and at what cost. In the paragraphs that follow, we describe the impact of the PAR process on technical assistance projects and managers: the type and frequency of changes made in projects as a result of the PAR, the characteristic reactions of Mission personnel to the PAR process and how it has influenced their ability to manage technical assistance projects. In addition, there is presented the results of an analysis of those aspects of the PAR process that appear to be most crucial in its role as an instrument for change.

a. PAR Impact on TA Projects

Our approach to measuring the impact of the PAR on technical assistance projects involved three basic steps. The intent of the PAR is to improve TA projects by providing a sound basis for replanning. (In

this sense, replanning encompasses those cases in which the existing plan is reaffirmed at a higher level of confidence.) Thus, our first step was to identify the replanning decisions that had resulted from the PAR-initiated evaluation process. Second, the PAR process itself was studied to determine under what conditions the process typically leads to changes in project plans. Finally, those cases in which the process failed to influence project planning were studied to determine the obstacles to be overcome in strengthening the PAR process.

We did not directly address the issue of whether the PAR-induced changes in technical assistance projects were appropriate from a technical point of view. We did, however, concern ourselves with whether the logic of the decision-making process induced by the PAR was coherent and defensible. This issue is discussed at greater length under D. THE UNDERLYING ISSUES. It is sufficient to this discussion that, while the logic of the PAR is faulty, the quality of PAR-based decisions appears to represent a marked improvement over what preceded it.

(1) Changes in Technical Assistance Projects Resulting from the PAR

The project changes that resulted from the PAR process were determined in two ways. First, through on-site observations, the incidence of three levels of change was recorded. The levels of change we defined were:

-- Modifying the means of accomplishment

- Rescheduling or modifying output targets
- Reorienting the project in relation to clarified higher goals

Table 4-4 reports the frequency with which PAR-induced changes in projects occurred at each level for the sample projects. As shown in Table 4-4, 80% of the changes made as a result of the PAR were below the level of project significance. In our judgment, the relatively low incidence of change at the significance level is more a reflection of the difficulty the Missions had in raising the significance issue in an actionable framework -- in such a way as to imply appropriate replanning action -- than an indication that AID technical assistance projects are generally relatable to higher goals. An implication of this is that changes at the output level were more a reaction to prior difficulties and current status than a considered reprogramming to ensure eventual achievement of the project purpose. This being the case, it is logically implied that changes in the means of accomplishment were also made without reference to impact on achievement of purpose. Thus, while the PAR did induce changes in technical assistance projects, it is our judgment that these changes were in response to time-urgent implementation problems and rarely provided a higher level of confidence that the project purpose will be achieved.

The second source of data on changes in projects was the PAR report. PART IV-B of the PAR records eight possible "proposed actions" as a result of the PAR evaluation. (See Exhibit 4-1) In analyzing this data, we classified all changes involving more than minor PIP revisions as

EXHIBIT 4-1

PART IV-B. PROPOSED ACTION (from page 9 of the PAR)

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. _____. Explain in narrative, PROP will follow.	
5. Substantively revised. PROP will follow.	
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ____	
8. Other. Explain in narrative.	

109 NARRATIVE FOR PART IV-B:

"important." Of the 43 PARs we analyzed in depth, 11 reported "important" changes resulting from the evaluation process. The apparent discrepancy between changes reported in the PAR and those revealed through on-site observations suggests that the accuracy of the PAR as a report is not related to the value of the PAR as a change agent. This issue is discussed further under C. THE PAR AS A REPORT.

(2) Factors Determining PAR Impact on Project

Based on our on-site observations, the factors which influence the capacity of the PAR process to induce change in technical assistance projects include the following:

Dialogue within the Mission, and extending beyond the technical organization, to decide on output targets and relationship to higher goals. This dialogue, where it occurred, served to broaden the perspective of technical and project management. Problems of longstanding duration which were beyond the control of project management and had been "lived with" for some time were often raised to the level of Mission management able to resolve them.

For example, in one case the project manager had given up trying to persuade his counterpart to make needed organizational changes. When called to the attention of the Mission Director through the PAR process, the Director was able to intercede at the ministerial level and remove the political pressures which had made it impossible

for the counterpart official to act. While the PAR process is far from being the only means available or used by Mission personnel to raise issues of this type, it is significant that problems which had plagued project managers for some time were finally raised, in the course of the PAR review, to the level of Mission management capable of taking effective action.

The group within the Mission whose role was most affected by the PAR process appeared to be the Program Office. We were frequently told by program officers that the PAR "...gives me a handle on discussing things with the technician." By discussing project-specific issues in the context of a process and report imposed by AID/W, program officers were able to de-personalize and structure their discussions with technicians. Technical management -- the division chiefs -- became more receptive to discussing projects with the relatively junior Assistant Program Officers.

- Consultation with persons outside the Mission in filling out the PAR often exposed project managers to views and opinions that helped them see their projects more objectively. In particular, consultation with Host officials proved of great value in the perception of a few project managers. Others consulted included PASAs and, most frequently, contractor personnel. The effect of the PAR seems to have been to raise for discussion issues of importance to the project which had never been satisfactorily

addressed in the frequent exchanges concerning operational matters. On occasion, the need to report in the PAR served as an incentive to force improvements in implementing agent performance. Often it was simply a matter of stiffening the project manager's resolve to the point where contractor intransigence was overcome.

- Sharing the evaluation results appeared to have mixed effects on projects. Where it was known in advance that the PAR would be shown to the host or implementing agent, particularly the former, there was a tendency to be less than candid. The problem here is twofold: first, the report to AID/W is compromised when other audiences are addressed as well; and second, the reporting orientation steps back into the evaluation process and discourages rigorous analysis. On the other hand, we found cases where key evaluative conclusions had not been shared with implementing agents who, as a result, were proceeding with approaches that the evaluation found deficient. This evidence suggests that evaluation feedback should be shared with those concerned in a selective basis while exercising care to prevent the process from anticipating their reaction and to ensure the integrity of the report to AID/W. Much of the sting of an adverse evaluation can be removed by involving in the evaluation process those who will need to be apprised of evaluative results. Again, involvement should be selective to permit a free exchange of ideas and opinions among Mission personnel.
- The level of Mission management involved in the PAR review was an important factor leading to changes in projects. Our data does not permit us to directly relate the level of management review to the frequency of real changes in projects. However, we did find that the likelihood that important changes would be reported in the PAR increased with the level of review. (Refer to Table 4-5.)

- The level of the PAR preparer appeared to be related to project changes, at least those changes reported by the PAR. As shown by Table 4-6, PARs prepared by project managers report important changes in the project growing out of the evaluation more often than any except those prepared in the Program Office.
- Controversy over project-related issues appears conclusively related to reported change. (Refer to Table 4-6.) To some extent, the PAR provided a dispassionate opportunity to settle controversial issues that had been previously avoided because of their emotional content. The PAR offered an opportunity to raise these issues in an actionable framework. Moreover, the requirement to report on the evaluation acted as an incentive to the Mission to resolve these controversies to avoid inviting AID/W involvement. However, this worked only up to a point. Where the controversy crossed a certain threshold, the Mission reaction we observed was to suppress the PAR pending settlement within the Mission. (This was not considered a flaw in the PAR System -- the need to ultimately submit a PAR tends to force mission management to "set a date" for resolving such controversies, an important benefit of a management system.)

b. PAR Impact on Technical Assistance Managers

We have already noted that an important benefit of the PAR has been to build acceptance for the concept of periodic and systematic project evaluation. In particular, attitudes have been influenced where Mission personnel played an active role in the PAR process. A corollary is that the greatest impact has been at the project level where PAR-related responsibilities are most often assigned. In fact, our data reveal that those most likely to see PAR benefits as exceeding its costs are project managers and those with major responsibility for filling out the PAR (Refer to Table 4 - 7). Principal among the other personnel characteristics we noted that appear relevant in assessing PAR impact are the following:

- (1) Project managers who filled out PARs were twice as likely to understand the purpose of the project as those who did not.
- (2) PASAs and Technicians below the project manager level were least often actively involved in PAR preparation and: (Refer to Tables 4 - 8 through 4 -11.)
 - Were least likely to understand the project purpose except for division chiefs who typically knew (or cared) less than anyone else about the explicit project purpose.
 - Most often lacked explicit personal work plans.
 - Were most likely to have a felt need for better guidance.
 - Felt least able to obtain the appropriate level of management

attention for issues raised in the PAR process when they were involved.

From these data it is clear that the PAR process brought little value to PASA employees and those below the project manager level. In our interviews with these people, we found them to be the most defensive about what they were doing and, at the same time, the most frustrated. A frequent, though usually unarticulated theme in these discussions was "They don't understand the real importance of what I'm doing." The reason for the frustration appeared to be that neither did the technicians -- the Mission had defaulted or its responsibility for ensuring that the technician understands why he is doing what he does.

3. The PAR Process Manager:
The Mission Evaluation Officer

The Mission survey produced evidence that a Mission-useful evaluation process can be created and orchestrated by a competent Mission evaluation officer with only a medium of support from regional and Mission management. At the same time, it was clear that such a process cannot be sustained for long without the management support and unless Mission evaluation officers receive help in upgrading their mastery of evaluative techniques and project design concepts.

To focus the analysis of "success factors" for Mission evaluation officers, each of those interviewed was rated as "poor", "adequate", or "good" on overall effectiveness. Nine of the 13 Missions visited had appointed evaluation officers. Of these, two were rated "good". An analysis of the characteristics of these men, the role they had defined for themselves, and the process they created revealed the following:

- a. The personal characteristics they shared included:
 - (1) FS-4 or above.
 - (2) Generalists with strong analytical skills.
 - (3) Extensive field experience principally in program staff positions.
 - (4) Inclined to "help" rather than do or direct others in doing.
 - (5) Great energy; these two spent an average of 50% more time per PAR than the others.
 - (6) Felt a strong need for better supervision -- that is, clarification of their role by Mission management.

b. The role they defined for themselves had the following characteristics:

- (1) Abjured the role of evaluation and focused on helping project-level personnel use the PAR.
- (2) Saw themselves as accountable to Mission management for the quality of the evaluation process, with relatively less emphasis on producing "quality" documentation.
- (3) Actively sought the involvement of a broad spectrum of Mission management in the PAR process.
- (4) Consulted with top management on a regular basis to define project-specific issues that would be of concern during the PAR review and reported these issues to the PAR preparer.
- (5) Reported the evaluation results to top Mission management -- usually by some means other than the PAR itself.

c. The project evaluation process defined by these "success models" were characterized by the following:

- (1) New issues of importance were raised during the PAR process. No other Mission evaluation officers found the PAR useful in this role.
- (2) PAR review panels that met regularly to discuss draft PARs each member had previously studied.
- (3) Overall project ratings were "relative" -- that is, were decided upon in relation to other projects in the Mission or in a sector, rather than on an individual basis as drafts were submitted.
- (4) All technical assistance projects were included in the PAR requirement and all PARs were submitted as scheduled.

- (5) Uniform procedures were established for obtaining routine data such as project budgets and participant data.
- (6) Within the limits of Mission competence, all issues raised were settled by either a replanning decision or explicit plans to collect further data needed to select among alternative solutions. In short, there were no loose ends after the process had been completed.

4. The Host Country: Its Role in the PAR Process

Defining an appropriate role for host officials has been a matter of some concern at both the AID/W and Mission levels. Agency policy urges that host involvement be sought and a variety of approaches have been suggested to or devised by the Missions. In the following paragraphs we report our findings concerning host participation in project evaluation at the Missions we visited. Subsequent material outlines an approach to defining a useful host role in the PAR process.

a. Host Country Participation in Mission Evaluation

The role most often played by the host country in the Mission evaluation process is that of providing data. More often than not, the data provided consists of already-published statistics, rather

than important new information. As indicated by Table 4-12, host countries served as an important source of data for the Mission evaluation process in only 4 of the 13 Missions we visited. (This and other data on the roles played by the host are presented in Table 4-12). As shown by Table 4-12, the host country actually became a party to the Mission replanning process in only one case. In nearly 50% (6) of the Missions visited, the host had no role at all, and, in fact, may not have been aware that an evaluation had taken place. We collected two kinds of data to assess the host role in a project-by-project basis for 43 sample projects: whether the host was consulted on substantive issues* in preparing the PAR and whether the Mission evaluation results were shared with the host. There was substantive consultation on three of the sample projects and results were shared for two. To determine whether host participation had any effect on the PAR process, we analyzed the relationship between the host role and four measures of the process quality:

- Net value of the PAR as perceived by the Mission.
- Net value of the PAR as perceived by the study team.
- The overall rating received by the project.

We found that project ratings tend to be lower in cases where the host has been consulted during PAR preparation. The number of observations on which this finding is based is small (3 projects); thus, we are cautious in interpreting this data. However, it does tend to support

*Obtaining information from the host -- whether or not it was new and insightful -- was not equated with substantive consultation in which the Mission sought the host's judgment on issues.

our subjective conclusion that important host reservations about AID projects are not adequately considered by the current Mission evaluation process.

To determine the effects of host participation on PAR reporting, we analyzed the relationship between the host role and two measures of PAR reporting quality:

- Whether important changes were reported in the PAR to AID/W
- The accuracy of the AID/W report in the estimation of the study team.

We found no association between host participation and the quality of the AID/W report.

In several cases where the host had conducted independent evaluations of AID-sponsored activities, the outcome was a great deal of controversy and little immediate effect on the project. In one case, the only concrete result was the "exile" (on participant training) of the overly candid host evaluator. A comparison of the "failures" with the "success" turned up only one obvious difference, and that difference does not seem particularly useful as a guide. The successful evaluation, resulting in real change, had received strong backing from a host personnel committed to change.

Host evaluations had important results on the attitudes of implementing agents, however. In two cases where implementing agents were relatively "unmanaged" by USAID -- largely because

they were considered "unmanageable" -- critical host comments caused the implementing agents to modify their approach. Unfortunately, these were not complete successes, as the implementing agents did not internalize the revised project objectives, but simply decided to "outlast" the host personnel who insisted that the project respond to host needs.

We found little evidence that host country cultural norms dictate against candor and thus rule out useful cooperation during evaluation. On several occasions, we found host officials more willing to discuss controversial issues than were Mission personnel. Undoubtedly host officials were more willing to speak with the Fry team members, outsiders who would leave shortly, than to Mission personnel. However, we found that host officials were also quite candid in discussing their own shortfalls and showed little reluctance to "level" with Mission personnel who often attended host interviews.

In more than one instance, it was clear that our presence acted as a catalyst for a free exchange between the Mission representative and his counterpart. Nonetheless, it is our judgement that communications between Mission personnel and their counterparts suffer from a lack of artfulness by USAID personnel in establishing constructive relationships with host personnel, coupled with our own reluctance to elicit and accept criticism. It should be a matter of some concern to the Agency that, although it continually emphasizes the importance of host relations and

looks on dealing with the governments of the underdeveloped world as one of its areas of unique competence, relations between project level personnel and host officials are often inadequate and are often reported as such in the PAR.

b. Defining a Useful Host Role in the Mission Evaluation Process

The experience to date with host involvement in USAID evaluation suggests an approach to obtaining constructive host participation.

The principal features of this approach include:

(1) Solicit candid host opinions on substantive issues during the evaluation process

To obtain useful input at the time of the evaluation, it is necessary to cultivate a candid relationship.

Achieving such a relationship requires that receptiveness to constructive criticism be demonstrated, that such criticism be acted on when received. Our limited observations suggest that when host officials participate directly in reviews, the Mission evaluation is less rigorous. To offset this, it is suggested that the Mission process be distinct from consultation with host officials except on selective basis. Once the Mission has defined issues of importance, the host should be consulted for their views.

(2) Present replanning alternatives for host review.

To obtain useful input from host officials, issues must be raised in an actionable framework: a clear definition of the issue or problem and its demonstrable consequences, together with genuine alternatives and the information required to select among them. Several host officials complained to us that they are often presented with a list of urgently needed actions but never asked to participate in the process that defined them.

When the Mission evaluation process has proceeded to the point where replanning alternatives are clear, the host should be asked to comment: to express a preference or suggest new alternatives.

(3) Build host evaluation capabilities after first upgrading Mission skills.

Before the host and the Mission can interact on an equal and constructive basis, the Mission must first master the skills and techniques required to sustain a Mission-useful evaluation process. With this as a base, Missions can develop approaches -- perhaps with technical guidance from the Mission evaluation officer -- for building a like competence on the part of the host.

A cautionary note: for Missions to undertake such an effort at this time would, in most cases, overreach their capabilities and create a distraction from the urgent need to upgrade the Mission evaluation process.

5. The Net Value of the PAR

The fundamental question to be answered by review of the PAR and evaluation processes is whether or not such a process has been, or could be in the future, of real benefit to Mission management.

The process initiated by the PAR provided benefit in excess of costs for the majority of the Missions we visited. This assessment is based on the perceptions of the individuals who participated in the PAR process as well as on the independent judgments of our study team*. It is significant that over 70% of those who played a major role in the PAR process felt that benefit exceeded cost, whereas less 50% of those who observed the process from a distance felt that benefit exceeded cost. (Refer to Table 4-7).

A more important conclusion of our study of the PAR process is that the process could have had a benefit that exceeded cost in each of the Missions that were visited. The PAR is not an easy document to work with and a relatively high investment of professional time was required before benefit was realized.

*There was a correlation of +.664 between the study team assessments of net PAR value and those of the Mission on a project-by-project basis for the 43 sample projects.

However, wherever that threshold investment was made, the ultimate benefit appeared to exceed the cost. The cost-benefit ratio was unattractive only where PAR compliance tended to be pro forma. As a general rule, if the Mission did not take the PAR and the evaluation process seriously, then the PAR had little value for AID/W and even less for the Mission.

The material that follows presents our findings on two topics:

- Achieving the PAR Benefit

This includes a brief summary of the benefits of the PAR which have been noted in earlier sections, describes those factors which appear to determine whether the Mission will in fact, make the investment required to achieve these benefits.

- Protecting the Mission Investment in the PAR

Here we discuss findings that suggest the PAR process will deteriorate without further and substantial AID/W support and point to some of the steps required to sustain the current impetus for improving AID project evaluation.

- a. Achieving the PAR Benefits

It is important to review with a critical eye the evidence that the PAR has brought value to the Missions and can be made to bring even greater value in the future.

The most compelling evidence that the PAR is, on balance, of value is that the Missions believe it to be so. Moreover, the Missions' assessment is based on the old PAR which is an annoying, and inefficient document to prepare and which does not provide a coherent evaluative logic. The improved PAR developed in the course of this study will provide an even more favorable cost-benefit ratio. There is undoubtedly some reflection of the "Hawthorne Effect" in our findings -- personnel in the Missions studied were influenced by the attention they received. Even though possibly overstated, our assessment of PAR value is judged reliable for two reasons: first, the assessment of net value varied in a coherent way in response to factors whose impact on net value can be explained logically; second, inferences based on the assessment of net value developed in the first regions visited by the Mission Survey, have been found to be valid in subsequent regions. Before examining the factors that influence the net value delivered by the PAR, it is appropriate to summarize the specific claims made for the PAR.

(1) The specific benefits delivered by the PAR include the following:

- The PAR has initiated a process that leads to changes in technical assistance projects based on systematic analysis. Mission personnel were quick to state that pre-PAR evaluation had been spotty and infrequent and usually had the flavor of a budget justification. The process we observed was generally systematic in its approach and, as shown in Table 4-4, did result in changes in technical assistance projects.

- The PAR process has been the occasion for a structured, useful dialogue between the Program Office and technical management. By establishing a depersonalized context for conducting discussions, and by, in some cases, implying a useful approach to analyzing these issues, the PAR made it possible to resolve previously intractable problems.
- The PAR has helped raise issues to a level in the Mission at which they can be dealt with effectively. In this regard, the PAR review has been of great importance by providing a forum for inter-sectoral exchanges as well as for gaining the attention of top management.
- The PAR has created an awareness at the Mission level of serious deficiencies in project planning and design. Using the PAR was frustrating and difficult in part because project plans were inadequate as a framework for evaluation. More Mission personnel realize this, few know what to do about it.
- The PAR report has provided at times useful data about Mission projects and, of far greater importance, has begun to provide actionable insight into Mission management practice. Moreover, by offering a credible record of Mission management the PAR has helped AID/W management to understand their appropriate and crucial role in "managing managers" and has led to the emergence of a process for performing this role.

These then, are the benefits that are claimed for the PAR and which, in our judgment and that of the Mission, outweigh its costs. To gain insight into the factors which influence the cost-benefit ratio of the PAR, an analysis was performed of the association between the net value of the PAR to the Mission as perceived by the Mission (NVM/M) and the study team (NVM/T) and each of six factors appearing to have bearing on PAR performance. The factors studied, which were singled out as being of potentially important on the basis of first-round Mission survey findings, are listed below with a discussion of the findings produced by the analysis of the 43 sample projects.*

(1) Characteristics of the Mission PAR Process

A total of seven characteristics of the Mission PAR process were identified and examined to determine their association with the net value of the PAR to the Mission, as separately perceived by the Mission and by the study team. (Refer to Table 4-14) Of these seven characteristics, two appeared to be related to the net value of the PAR to the Mission: revision of evaluative conclusions at

* The Fry sample from which all of these correlations were derived consisted of 43 projects in the NESAs, East Asia, and Latin America Regions. These projects were studied by Fry Consultants at the Missions and PARs had been submitted to Washington. There were less than 43 observations for some questions. A printout for all computer runs has been submitted to the Agency as a working paper but is not produced in this report.

higher levels of the Mission (+.277 NVM/M; -.019 NVM/T)* and the degree of controversy caused by the PAR (+.100 NVN/M, +.387 NYM/T). We interpret this to mean that Mission personnel find less value in the PAR process when top management is unwilling to accept the evaluative conclusions. We found no significant correlation between the level at which ratings are revised and average rating. Thus it is not known whether revised project ratings are typically higher or lower than the original ratings.

The degree of controversy generated by the PAR was strongly associated with our perception of net PAR value to the Mission but not with the Mission perception. This probably reflects both our more detached view of the controversy and our bias in favor of an evaluation process that confronts issues in the context of a toughminded discussion.

While not quite statistically significant the correlations with higher levels making the original decision on project ratings (+.246 NVM/M, -.009 NVM/T) are interesting. The discrepancy in these figures is consistent with our finding that the PAR raised issues to higher levels of Mission management and while improving vertical communica-

* Correlations closer to zero than .257 or -.257 could have occurred by chance with a probability of more than 5%. A correlation farther from zero suggest there was a true relationship.

Statistical significance for a sample of 40 PARs:

<u>Correlation</u>	<u>Probability of a correlation differing from zero this much by chance alone</u>
.257	5.0%
.304	2.5%
.358	1.0%

tion and the credibility of top management, obtaining top level attention only infrequently resulted in substantive improvements -- (in our judgement) due to the inadequacies of project definition

(2) Consultation during PAR preparation

We found no statistically significant relationship between consulting such sources as the host government, the program office, contractors, or PASA teams and NVM. However, our observations were limited (a maximum of 3) so we are reluctant to accept this data as conclusive, particularly since host consultation appears to be associated with lower project ratings (which suggests that the Mission view of the project is deflated by candid exchanges with host officials)*.

(3) Dialogue about project targets did not appear strongly associated with NUM. (Refer to Table 4 - 16) We are again hesitant to draw a conclusion based on this data alone since useful dialogue about targets did show a strong correlation with major changes being reported in the PAR.

(4) Dialogue about higher goals was highly related to NVM, particularly in the view of the Mission. (Refer to Table 4 - 17)

There was a marked negative correlation between NVM/or (-.411 NVM/M) and obtaining higher goal definitions from documents other than the Country Field Submission (CFS) or Project Budget Submission (PBS) and a positive association (+.271 NVM/or) with obtaining goal statements from the Program Office. The most significant data however, is that showing a very strong association in the view of both the Mission and the study team between NVM and a dialogue about the higher

* See Table 4-15

goals. (+.439 NVM/M, +.323 NVM/T) Clearly, the PAR was responsive here to a real and a felt need for discussion to clarify higher goals. As reported earlier, it is our judgement that, although it is to the credit of the PAR that it initiated such dialogue, in no case has the dialogue been successfully concluded.

(5) Sharing the evaluation results with others relates to NVM in two ways. First, there is a slight negative correlation between NVM/M and sharing results with PASA teams (-.255 NVM/M). (Refer to Table 4-18) This is consistent with on-site observations that suggest Mission personnel tend to feel unable to control the activities of PASA teams and are pessimistic about the chances for having a useful dialogue with the PASAs on issues of importance to the project.

Both the Mission and the study team assessments of NVM show a strong positive correlation (+.354 NVM/M, +.388 NVM/T) with discussing evaluation results with non-technical management. This is consistent with our finding that the PAR has been the occasion for a constructive dialogue between technical managers and the Program Office.

(6) The frequency of project-related changes resulting from the PAR process correlates positively with the study team view of NVM at all levels of change and negatively where no change was observed (Refer to Table 4-19). Perhaps the greatest significance of these data are their value as a check on the study team. Our explicit

criteria for assessing PAR value was its output capability--did it produce replanning decisions leading to changes in projects?

The relationships discussed above are, in our view, logical and, in our experience, can be extended beyond those missions from which the data were obtained. This inferential capability demonstrates the reliability of the recorded assessments of the net PAR value to the Mission. The factors discussed above showing a positive correlation with NVM are key design criteria for a PAR process that achieves the threshold investment.

Before moving on to a discussion of the future prospects for PAR value, there is one additional factor that has strong implications for NVM.AID/W management. While we did not collect comprehensive data to systematically measure AID/W's effect on NVM, we did obtain some useful information through "worst case" analysis. There were clear differences among the regions we visited in the attitude of top management toward the PAR and the type of guidance provided to the Missions concerning the PAR. In one region where we found evidence of hostility toward the PAR, we found:

-- Not one project in the region received a rating below "low satisfactory"

- The average time invested in each PAR was 40% less than the next average. No other region varied more than 20% from the norm.
- The average number of persons involved in reviewing each PAR was 1. No other region went below 2 reviewers/PAR
- Only 40% of the PAR preparers in this region felt that the PAR benefits exceed the PAR costs. This compared to a world wide average of 75% for PAR preparers and 56% for the total population in that region. This suggests that where non-constructive AID/W guidance leads to a pro forma Mission response, filling out the PAR is an overous chore of little value to those responsible.

b. Protecting the Mission Investment in the PAR

In several cases, the Missions we visited had begun preparing second round PARs. In all cases, the investment required was substantially below that required for first-round PARs. At the same time, we found some disturbing signs that the PAR process had lost some of the first-round momentum. The Mission handling of second-round PARs reflects a legitimate effort to devise more efficient reporting procedures. However, this effort has in some cases led to simply copying checklist entries without seriously examining their continued validity.

Missions do not fully understand how and why the PAR helped them last year. There is generally little awareness that the real value of the PAR came from the long and sometimes tedious dialogue and review sessions struggling to find satisfactory ways of capturing the essence of the project in the PAR report, and from the replanning. Not accustomed to annual systematic evaluation, the Missions we saw working on second-round PARs showed an inclination to focus on updating the PAR report without once again rethinking the project design and its presumed relationship to higher goals. If the output targets were accepted by AID/W last year, they are allowed to remain intact and unquestioned, even if not adequate measures of progress. Most disturbing of all, of three Missions we visited that had begun second-round PAR preparation, two had cut back severely or dispersed with the PAR review process.

In the absence of a clear signal that the PAR is being used at AID/W for serious purposes, Missions are beginning to assign a lower priority to the PAR process. Having more or less mastered the reporting requirement, the Missions are no longer quite so concerned about the quality of the process. The PAR is irritating to deal with because of its design and this increases the tendency to set it aside as quickly as possible. The PAR is not currently an actionable report for the Mission; thus, it suffers for attention when competing with the actionable concerns of Mission management.

The PAR raises issues of output definition and project significance that the Missions are unable to resolve without help. Thus far, the help needed has not been forthcoming. This being the case, the Missions appear to be moving toward pro forma compliance which, under the circumstance, is understandable.

In the action plan presented in Chapter II of this volume, specific steps are outlined for sustaining and expanding on the impact the PAR has had on Mission management practice.

C. THE PAR AS A REPORT

The PAR as a report is expected to serve in three roles: first, as a report to Mission management; second, as a report to AID/W management; and third, as a data input to analyses of technical assistance performed either at AID/W or the Mission. We were asked to assess four dimensions of the performance of the PAR report in each of these roles:

- (1) Efficiency of data collection, storage, and retrieval
- (2) Utility of data presentation to PAR users
- (3) Validity of PAR data; that is, the accuracy and reliability of the information reporting in the PAR
- (4) Relevance of the data reported in the PAR to the real issues concerning TA projects and the critical decision-making responsibilities of PAR users

To measure these four dimensions of PAR reporting performance, we collected several kinds of data. PAR reporting in 12 of the 13 Missions we visited was rated on a five-point scale against six basic parameters of information system design. (The remaining Mission was a field test site for the recommended PAR improvements and there was not sufficient time to assess the existing PAR process.) The design parameters we applied are:

- Strong policy direction. Success of any communication system required that explicit policy direction be provided from the upper through the lower levels of management. The PAR can be significant to AID/W only insofar as it is internalized to USAID operations. This internalization requires strong direction to and from Mission management.
- Emphasis must be on output capability. The tendency in information system design is to establish information

requirements that are appropriate to central users and then define comprehensive sets of data that enable all relevant reports to be generated. As additional data requirements are conceived, they are added to the input formats. As a result, the sum total of the information system activity as seen by the individual upon whom the reporting burden ultimately falls is a proliferation of reporting requirements. The critical difference between a weak PAR system and a strong one will be whether emphasis is placed on providing useful outputs to real users rather than on compiling comprehensive input data.

- Support for multi-project. Consistent with the need to emphasize output rather than input, the PAR must provide for aggregating data in terms of classification parameters of direct interest to each of the management levels through which PAR data flow.
- Demonstrated use in management reviews. The final test of the validity of the information that are presented by any input format are whether or not those data are routinely used to review project and organizational performance. Data used by USAID management to evaluate their own projects and their own personnel will be data that can be safely used by AID/W.
- Significance of data generating events. Data are representations of activities. A critical factor in determining

the validity of data reported is whether or not the events or activities generating those data are significant to USAID management. Specifically, data captured by the PAR system must be data that are used by the Missions.

- Efficiency of data collection. The reporting burden imposed on the field activities must be "reasonable." Redundant or unnecessary reporting requirements will be quickly perceived and resented. Thus, PAR must be designed to minimize the reporting effort expended by Mission personnel.

Table 4-20 reports the composite ratings for the 12 sample Missions. The first four of these parameters were also applied in appraising the PAR as a report to AID/W. These ratings are reported in Table 4-21. Our interpretation of these data is presented in the discussion below.

A second category of data was collected assessing the PAR report for each of the 43 sample projects. In this case, we measured the accuracy of the report in describing both the Mission perception of the project and the issues pertaining to the project revealed through our on-site review. In addition, project-specific data were collected describing the effect of the PAR process on the report and vice versa.

Our original work plan envisioned a third measure of PAR performance involving simulated PAR-based decision-making by AID/W

panels. The validity of the PAR-based decisions reached by these panels was to be tested on-site during the Mission survey. However, our initial attempts at using this approach revealed that AID/W staff did not view the PAR as an adequate basis for the decisions they were willing to make about TAs projects. Unable to generate any meaningful data, we discarded this technique.

Our findings relative to the PAR as a report are discussed below under four headings:

- Efficiency of the PAR Information System
- The PAR as a Report to the Mission
- The PAR as a Report to AID/W
- The PAR as Data Input for Analysis

1. Efficiency of the PAR Information System

The efficiency of the PAR information system is a function of the cost per unit of data collected, stored and retrieved using the PAR document. Our findings relative to these three elements of PAR efficiency are discussed below.

a. PAR Efficiency in Data Collection

The efficiency of PAR data collection has two dimensions. First, there is the question of whether PAR data are by-products of basic Mission processes or must be generated solely to satisfy the PAR requirement. We found that a substantial portion of the PAR data are not generally available at the

Mission and must be generated to complete the PAR. However, for the most part, this is data needed to manage effectively and should be available. For example, the most expensive sections of the PAR in terms of data generation costs are the the Output Report and Forecast (PART I-B.1), and the Status of Schedule - Individual Activities (PART II-A.1). In all cases, these are data that should be readily available at the Mission as a result of normal planning activities. Thus while the PAR has created an additional data generation responsibility, the cost of carrying out this responsibility is more appropriately a cost of the Mission planning process.

Project managers are typically not familiar with cost and budget data for their projects except in the aggregate. In particular, the cost of the various inputs is often not known, including in a few cases the cost of the implementing agent. In some cases, PAR entries having to do with host and other donor inputs were uninformed guesses. That such data is not known to project managers suggest that they do not give adequate consideration to the cost-effectiveness of various means of producing the required outputs. In particular, little attention is given in most Missions to mobilizing private and other donor resources.

Some part of the PAR data collection costs were avoidable. On several occasions we found that data that was independently generated by the PAR preparer was readily available

in other parts of the Mission. Examples of this include participant training results and costs. In other cases, data was available from the host government but not used. These kinds of inefficiencies can be expected to decrease as the Mission evaluation officer and project managers become familiar with existing data sources.

The second issue of concern in assessing the efficiency of the PAR data collection is whether the PAR document is an efficient instrument for recording data. Our judgment is that it clearly is not (refer to Table 4-20).

There is a high psychic cost associated with filling out the PAR because it is complicated. In fact, it appears more complicated than it is because the questions are not asked in a way that makes the logic of evaluation clear. Moreover, the invitation to clarify responses to individual checklist items often results in redundant narrative. This redundancy is heightened by the fact that the intended uses of PAR data are not clear. Project Managers anticipate "worse-case" uses of such data and provide additional verbiage to protect against potential misunderstandings and misapplications.

From the standpoint of what is truly important to the evaluation process--that is, whether or not our projects are truly having development impact--the PAR is particularly deficient in not requiring a clear relationship between project outputs and the higher goals. Mission attempts to fill this gap

results in further narrative that usually sheds little light on the subject.

The output table of the PAR, which should be a key if not the key element of the evaluation, was often irrelevant to the rest of the PAR. The higher goals, for which a tabulation is provided, are rarely defined to show or imply a logical connection between outputs and goals. This was more frustrating to the preparers of PARs than it was to its readers.

Table 4-2 shows the sequence typically adopted by the PAR preparers we interviewed. In those few cases where we observed the actual PAR preparation, it seemed that one cost of the illogic of the form was a fragmentation of the PAR preparer's perception of the project. Instead of building to a coherent view of the overall project while completing the PAR, it was necessary to go back and review the individual pieces to gain a sense of the whole.

b. PAR Efficiency in Data Storage

At the Mission, data storage is not yet an issue since PARs are few and little used after they are filled out (the same obviously applies to data retrieval). At present, PAR storage at AID/W is a simple filing operation with a very low unit cost. We reviewed the procedures for PAR distribution and storage at AID/W established by M.C. 1026.2 and found them satisfactory given existing patterns of use. However, in

reviewing actual practice, we found some problems of duplication and gaps in PAR files. For example, some PARs are in either the central or regional reference files, but not in both as prescribed. Other PARs were circulated in regional bureaus, particularly among technical groups, and had not been recorded as received by either the central or regional reference files. In a very few cases, we received copies of PARs (and other project documentation) at the Mission which had been submitted to AID/W but could not be found there.

We considered whether redundant reference files should be maintained by the regional bureaus and concluded that a working file for regional use, while maintaining a central archival file is appropriate.

Future refinements and revisions to PAR storage procedures should take into consideration the evolving AID/W uses of the PAR and such uses as are defined by the TA Research and Analysis (TARA) function. Among the issues to be considered are establishing close-out procedures for individual project files upon completion or termination of the project.

Selective data retention criteria and procedures should be established to provide for summarization and central storage of machineable data for completed projects.

c. PAR Efficiency in Data Retrieval

Given existing AID/W utilization of PAR data -- a limited number of users review PARs and refer to the PAR for historical information--PAR data retrieval efficiency is adequate. However, increased use of the PAR for analysis of classes of projects resulting from activation of the TARA function will require substantially greater efficiency. We have coded and stored in machineable form the data from 321 PARs submitted during this study. These data files are being presented to the agency together with this report. Extractions from future PAR submissions should be stored in the same manner to permit efficient handling of the predicted increase in PAR data retrievals. Otherwise the inefficiency of the existing manual retrieval procedures will preclude effective use of PAR data for analytical purposes.

2. The PAR as a Report to the Mission

The PAR is a poor report to the Mission, and because of its apparent complexity and lack of action orientation, it is a particularly poor report to the Mission Director. Rumor has it that at least one Mission Director, when presented with his first PAR, threw it across the room and instructed his staff that he was never to see another. Although that anecdote is third-hand to the study team, the fact is that the Mission Director, particularly in a large Mission, does not find the current PAR useful as a report.*

* In small Missions, he typically indicates that he does not need the PAR as a report.

The composite ratings of PAR utility for the 12 sample Missions are: "Use in Management Reviews" - 2.9, Support for Multi-Project Aggregations - 1.6, Emphasis on Outputs - 2.3. These ratings confirm that, on balance, the utility of the PAR as a report to Mission management is low. It is significant that several of the Missions we visited were cutting back or eliminating PAR-based management reviews during the second round of PARs.

The PAR was far more useful as a report to lower levels of Mission Management, although there is limited recognition of this utility. One benefit of the PAR process has been the requirement for a narrative history to bring the project up-to-date. For many projects this was the first and only complete statement tracing its origins and evolution. It typically was a time-consuming process to develop this history, and often involved contacting host personnel and others who had been previously associated with the project. Both project staff and others within the Mission found value in recreating such a history, but there was quite properly some question as to whether the value justified the substantial cost. (On several occasions project management felt that the benefit of the narrative history was higher than did our study team. The difference in assessments appears to be caused by the fact that technical management appropriately values insight into projects for its own sake, whereas our viewpoint was that knowledge is useful only if it results in constructive action.)

Although the PAR was not a good report, the issues raised when preparing the PAR were often brought to the attention of the Mission Director and subsequently acted upon. This was, in fact, the primary benefit of the

PAR process--raising issues and either informally or formally bringing those issues to the appropriate level of management attention. In several instances PARs were forwarded to the Mission Director with memos attached indicating divergent views within the Mission. Even in small Missions, Directors were on a number of occasions surprised at the number of controversial opinions and important issues that were raised. The Director did not frequently attribute the raising and resolution of issues to the PAR process, although in our judgment the PAR report was an important agent in focusing issues for his attention.

The major issues reported on and presented to the Director as a result of the PAR process were not generally "surprises." However, there often were issues of importance but of sufficient difficulty to resolve that lower management had previously seen no point in raising them. Where such "basic" issues were raised during PAR preparation, and a degree of interaction was achieved between program, sector, and project management, some of the insurmountable problems began to look less insurmountable and were reported to the Director, though perhaps not in the PAR.

The assessment of PAR validity by the Mission staff shows a not surprising variation depending on the role played in the PAR process. Those who played a major role most often agreed with the final PAR report (85%), whereas only a small majority (60%) of those who observed from afar were in total agreement. However, at least 90% of those we interviewed felt that the PAR was valid except for minor issues (refer to Table 4-22).

An important measure of the performance of the PAR report is whether Mission personnel look on it as a credible communications channel--that

is, do they feel confident that issues reported on in the PAR will receive the appropriate level of attention. A minimum level of PAR credibility is essential if the report is to capture what is truly important about technical assistance projects. However, in this regard, the PAR does not fare so well. Only 50% of the PAR preparers were confident of obtaining the management attention appropriate to the issues raised in the PAR. Of the remainder, 24% anticipated a management reluctance to address key issues and did not raise them. (Refer to Table 4-23) On-site observations suggest that many, if not most, of these issues were subsequently raised during the PAR review. However, we found conscious suppression of issues in only 17% of the 43 sample projects we reviewed on-site. Two important facts emerge from these data:

- Approximately one third of issues suppressed during PAR preparation are raised during the PAR review
- Communications within the Mission are not substantially better than between the Mission and AID/W.

2. The PAR as a Report to AID/W Management

Our assessment of the PAR as a report to AID/W management is discussed below under two headings:

- The Candor and Accuracy of the PAR Report
- The Utility and Relevance of PAR Data.

a. The Accuracy and Validity of the PAR Report

There are two questions of fundamental importance in discussing the PAR as a report to AID/W Management. First, did the report candidly and accurately describe the Mission perception of the project? Second, did the report accurately and validly describe the project. These are different, although related, questions. The first asks whether or not the Missions "censored" the reports to eliminate controversial issues. The second, more important, question asks whether or not the Missions were themselves able to detect the important and actionable issues.

The answer to the first question is yes - the PARs for the most part do candidly and accurately reflect Mission analyses of their projects. There are exceptions to this, particularly where the PAR was viewed as a pro forma exercise. Still, it should be assumed that where the evaluation of a project appears to be superficial or defensive, it is because that is exactly the type of analysis that was undertaken. Mission Directors are more aware of this, quite obviously, than are the AID/W reviewers. Mission Directors have on a number of occasions responded firmly to poor evaluations, and there is evidence to suggest that if given the opportunity and the tools, will demand better - more candid and more effective - evaluations:

Which brings us to the second question, of whether the PAR accurately reflects the true state of affairs and identify important issues. The answer to this question is generally no. Less than half of the PARs forwarded to AID/W and selected for study reported the issues that our study team, based on on-site reviews, found to be the key issues for the project. However, it must be emphasized that this resulted more from deficiencies in the Mission's ability to get to the root issues and discuss them in a way that could lead to replanning actions, than from editorial constraints.

The quantitative data supporting the above findings, based on 42 projects reviewed in depth,* are as follows: 83% of the PARs reported what the Mission knew about the project - in only 17% of the projects were issues suppressed or seriously misrepresented. (Refer to Table 4-24) At the same time, PARs for 50% of this sample failed to report the issues our study team deemed most important to the project. Thus, in 33% of the projects the Missions failed to identify the issues that our team considered most important. (It should be recognized that the important issues unearthed by our study team were not based solely on personal assessments. Typically these were issues that host personnel considered important and that project staff identified or verified as important after discussion with our interviewers.)

The evidence is, in our opinion, conclusive. The problem is not how

*We did not collect this data for one of the 43 sample projects that were reviewed in depth.

to help them undertake better and more insightful evaluations.

b. The Utility and Relevance of PAR Data

The first and most important question about PAR utility and relevance to AID/W is whether it is used and if it is useful in making decisions that are important to AID/W. Our findings suggest that at present it is used infrequently but that the PAR is potentially of great importance. The project-specific decisions and actions that concern AID/W fall into two categories:

Support for Mission Programs. This category involves recruiting and negotiating PASAs and implementing agency contracts, personnel actions, processing loan agreements, processing and expediting commodities, etc. Decisions and actions on these matters normally require data at a level below that provided in the PAR and are obtained from documents designed specifically for that purpose, e.g., the PIOs and SPARs.

Financial and Budgetary. While these decisions have project-specific impact, AID/W typically does not rely on project specific information in making them. Instead, the data used are offered at a level above the "unit-of-management" project dealt with by PAR.

There is a third area of decision-making responsibility which, until very recently, had very nearly been abdicated by AID/W: deciding and acting on the related issues of whether Mission projects are of sound

design and are well managed. In the past there has been no systematic and reliable information on which to base these decisions. The PAR has, to some extent, filled this gap in the AID/W information base and, in doing so, has created a problem for AID/W. The PAR is sufficiently different from other kinds of documentation that there was no precedent for review and response. AID/W was told about issues, in a formal document, that they used to learn about only through the grapevine. Sometimes AID/W agreed with what the PARs were saying, sometimes there was disagreement. However, the nature of communication was different from anything that had gone before.

The PARs were for the most part more objective and candid than AID/W had expected. Recognizing that this was probably true (although by no means certain of it), AID/W acted with considerable restraint. Formal responses to the PARs tended to be helpful rather than critical of projects, and critical comment was typically aimed at the evaluation process rather than the project. Certainly, not all AID/W personnel shared in the feeling that response to PARs must be controlled and supportive. Still, there is an AID/W consensus that responds to the feelings of a Mission Program Officer:

"If AID/W doesn't respond to the PARs, we will be annoyed. If they respond in a meddlesome way, we will be angry. . . . Still, I don't suppose we would be very annoyed, and possibly not even very angry."

In the remainder of this section, we discuss (1) the specifics of the

AID/W response to the PAR and (2) the results of our analysis of the utility and relevance of the data provided for by the existing PAR document.

(1) The response by AID/W management to the PAR has had two sides:

- The PAR has initiated the first systematic AID/W review of projects at the "unit-of-management" level. This process is unique in that it is oriented toward improving Mission processes for managing projects rather than focusing on the substance of the projects themselves. Moreover, the review has encompassed nearly all technical assistance projects and not just the visible failures and potential sources of embarrassment. In short, just as the PAR requirement has made it clear to the Missions that there needs to be a new and better evaluation procedure, so the PAR requirement has made it clear to AID/W that there must be a new kind of procedure for reviewing evaluation reports. The data in Table 4-2 indicate that thus far, implementation of this procedure has been spotty and varies substantially between the regional bureaus.

The characteristics of the AID/W review process created by the PAR include:

- AID/W responses to PAR submissions have for the most part, commented on and offered suggestions for improving the quality and insight of Mission project evaluation rather than second guessing project-specific USAID decisions.

- Project-specific comments dealing with the substance of technical assistance projects have been offered on an advisory and often informal basis. These comments have usually been designed to raise issues not visibly considered by the Mission and to offer new data that might have a bearing on Mission decisions.
- The AID/W PAR review process has served as a means for bringing AID/W management and technical expertise to bear on project-specific issues. It is our impression -- unverified by Mission-level observations -- that this process has enriched and focused the dialogue between AID/W and the Missions.
- Thus far, the connection between the PAR review process and AID/W decisions on Mission programs and budgets has not been clearly established.
- The review process has greatly increased AID/W knowledge of USAID activities. We found that, in a significant minority of the projects and PARs we reviewed, the PAR was the most comprehensive and occasionally the only source of project-specific information available to AID/W officials.
- Two of the very few cases we found of non-constructive responses to PARs were forwarded outside of normal channels, suggesting that improvements can be effected by enforcing clearance procedures and by encouraging Mission management to ignore queries that lack proper authorization.

-- The AID/W review panel typically includes the Regional PEO, a DP representative, staff from the area or desk involved, and ID personnel with technical cognizance for the activity being reported on. At the outset, PAR and often PROP reviews were led by the RPEO. Increasingly, however, desk personnel and DP staff have assumed the leadership role. Up to this point, the major benefit of the PAR to AID/W has been in educating regional personnel in the concepts and skills required to function effectively in "managing managers". While not yet fully understood or accepted by the AID/W staff, this role offers substantially greater leverage and opportunity to upgrade TA projects than direct intervention in project-specific decision-making.

- There is a lingering concern on the part of AID/W officials that USAID management cannot be relied on to upgrade or eliminate projects that are clearly failing or have become irrelevant. In the course of our discussions, AID/W staff have almost invariably expressed concern that USAID management lacks the competence and insight required to carry out effective project evaluation and, more important, is not motivated to upgrade or eliminate projects that cannot demonstrate progress toward achievement of purpose. In response to this concern, we have examined the options open to AID/W. Our findings suggest that AID/W has no practical alternative to

"managing managers" rather than projects. Similarly, the only approach open to AID/W for upgrading AID technical assistance projects that is feasible over the long term is to focus on upgrading TA project managers. This applies whether the project managers report to the existing USAID organization or, as has recently been suggested, to AID/W through the U.S. Embassy. Our reasoning is as follows: It is also interesting to note that we were more often told (by USAID staff) of projects that AID/W had forced the Mission to continue than we were of projects for which AID/W demanded termination.

(2) The data of greatest utility and relevance to the AID/W project review are not reported in the PAR. More specifically, our analysis of the PAR data elements indicates that:

- The most important funding data are not reported: cost to completion (which defines the resources affected by the evaluation findings) and the cost of the input categories. These latter define an important dimension of AID's management interest in these categories, yet it is not unusual for Project Managers to not know these amounts.

- The output report in the existing PAR leaves out the most critical data element: revised targets, which describe the replanning implications of prior performance. There is currently no way to tell whether failure to meet a prior output target has any real impact on forecasted project effectiveness.
- The relevance of the higher goals reported in Part I-C.1 is seldom evident. Quite often, these are stated in such general terms that any project could conceivably contribute to attaining them. In other cases, these goals range from country program objectives all the way down to input targets. Finally, the information of greatest relevance to USAID and AID/W is not requested: an explanation of the casual linkages perceived between achievement of the project purpose and the higher goal and evidence that performance to date verifies the Mission's expectations about these linkages.
- It is our judgment that implementation schedules and performance are not relevant above the project management level unless they explain deviations from output targets or impact on activities outside the project.
- The name of the Project Manager should be a key identifier. This should be prominently displayed on the first page of the PAR and all other project documents to reinforce the concept that the project equates to the manager's job responsibilities.

4. The PAR as a Data Input to Analysis

The findings reported thus far have to do with the PAR as a management tool, a device for initiating and appraising the operation of a Mission-useful project evaluation process. A second role or function of the PAR that is of major importance to the Agency is that of providing data for analysis into the character of technical assistance for the purpose of gaining insights that are transferrable among projects, programs, and Missions. This section reports our findings with respect to the utility of PAR data as an input to this kind of analysis. Our findings are presented below, first as they relate to analysis performed at the Mission and then as they concern the analysis appropriate to AID/W.

a. PAR Data as an Input to Mission Analysis

There are potentially significant uses of PAR data for analysis at the Mission; however, we found little awareness of this potential on the part of Mission personnel and no ongoing attempts to exploit it. The analysis of evaluation results now performed at the Mission-level is usually performed in the Program Office and may or may not be influenced by the PAR. Such analysis, though limited, has been useful in identifying problems affecting a number of projects. To the extent PAR input has been important, it has been in raising issues for subsequent analysis, most often not involving PAR data. At several larger Missions, we found serious attempts to aggregate PAR data for Mission use. Such aggregations turned out to be of very limited value to the Mission. Analysis of the aggregated responses suggested internal inconsistencies in the PARs, but in

each case the analyst finally decided (after looking specifically at the projects in question) that what appeared to be an inconsistency was in fact a reflection of real difference in emphasis. Thus, the result of this analytical effort was (1) to affirm that the PARs had been filled out in good faith, and (2) to suggest that "self check" or intentionally redundant features of the PAR cannot be relied upon.*

In cases where we reviewed all PARs for a Mission to prepare for the Mission survey visits, we found PAR data to be useful in identifying problems that are common to a single Mission or to a sector within a Mission. For example, in one Mission we visited, all PARs except one cite low host government pay as a serious problem that, in several cases, was directly responsible for projects failing to meet targets. Project- and division-level personnel told us this problem was of major importance. The Mission Director said the problem was highly overrated.

The PAR data in this case not only served to flag the problem as having significance beyond a single project, it also pointed to a possible approach to reducing the effects of low host pay on AID-sponsored projects. As mentioned above, one PAR was conspicuous in not citing low host pay as having a negative impact on performance.

* That is, if question "17" asks for the same information as question "2", a difference in response will most often mean a perceived difference in the questions or their context, not a careless or non-constructive report. This relates to the fundamental issue of ensuring that all respondents interpret the queries in the same way, discussed in Volume 2 of this report.

This project was also singular in that it was generally producing outputs as scheduled despite substantial reductions in AID inputs. A closer examination of the project suggested that the project manager had designed around the problem of low host pay by organizing the counterpart staff into closely knit teams directed at attainable objectives. Each team contained the mix of technical skills (assiduously developed by the project manager) required to achieve its objectives. The esprit from being part of a team and the sense of accomplishment from self-contained efforts may have overcome the demoralizing effects of subsistence wages. Analysis of PARs could have led the Mission to recognize and test the applicability of this model to other projects in the Mission.

As suggested by the first example describing attempts to use the PAR for analytical purposes, there are weaknesses in the data, particularly in terms of reliability, that affect its utility for comparative analysis. This and other problems are discussed in the following section on AID/W use of PAR data for analysis.

b. PAR Data as an Input to AID/W Analysis

In the course of our study we placed in computer file and analyzed data from 321 PARs (all FY1969 PARs submitted, from all Regions, as of early February, 1970). We added to this file data gathered during the Mission survey describing the characteristics of the PAR processes we observed. We have utilized this data for analysis principally in two ways:

- Using the overall project rating from the PAR (Part I-B.2) as a dependent variable, we sought to identify factors and problems that have a significant bearing on project success. As independent variables, we used, at one time or another, most of the quantifiable data in the PAR.
- Data from the PAR and from our Mission findings were manipulated to determine those factors influencing the operations of the PAR process and the accuracy of the PAR report.

The results of that analysis are discussed in Chapter V of this Volume.

D. SOME UNDERLYING ISSUES: THE DESIGN AND MANAGEMENT OF TECHNICAL ASSISTANCE PROJECTS

The most important failings of the PAR system arise only in part from imperfections in the PAR itself. They result more from serious deficiencies in Mission management practice and capabilities.

Half of the PARs we studied seriously misrepresented the key issues pertaining to the project, but two thirds of the time it was because the Mission was unaware of the real issues. Only 17% of the sample PARs sent to AID/W deliberately suppressed important issues, but 24% of the PARs sent forward within the Mission failed to raise key issues because the PAR preparer felt that top Mission management would be reluctant to address them. Moreover, 45% of the PAR preparers felt they had been unable to obtain appropriate Mission management attention for the issues they did raise.

Admittedly, it is a serious failing of the PAR that it does not force the Mission to establish a connection between project outputs and higher goals by asking about the purpose of the project. On the other hand, 43% of the project managers and 53% of division chiefs we interviewed did not understand the project purpose well enough to carry out their responsibilities effectively. The output table in the PAR seldom contained objectively verifiable targets. Thus, it is not surprising that 75% of the project managers we interviewed lacked explicit personal work plans. Our assessment of the poor state of vertical communications within the Mission is corroborated by the respondents themselves: 75% of the project-level and

personnel (technicians and project managers) expressed a strong felt-need for better and clearer supervision.

Three basic problems were characteristic of every Mission we visited:

1. The purposes of technical assistance projects seldom are defined sharply, and the connection between a project and its higher goals is almost never clear. AID personnel lack a logical framework for defining projects in terms that will permit objective verification of success. In short, Mission managers are unable to answer the question, "when will your project be completed?"
2. There is rarely a clear sense of management responsibility. USAID staff cannot accept explicit responsibility for achieving project success, as success is highly dependent upon actions of others. Under these conditions, even the "bright young men" of the Agency showed a disturbing reluctance to accept responsibility. It is no wonder that they typically gravitate to the Program Office, rather than to operating positions. It should be a matter of great concern to the Agency that there are almost no young project managers.

Almost no one anywhere was willing to leap in and assume responsibility for getting things done. When we arrived at a Mission and asked to speak to the manager of a sample project, it usually required a explanation of what we meant to obtain the reply, "well, I guess there really isn't anyone who is exactly the project manager, but Joe usually takes care of that one for us. You should also talk to Tom because he's had a lot to do with it too."

3. Mission managers do not understand their projects well enough to replan effectively even after evaluation. Lacking both the orientation that should be provided by clear-cut plans and sharply defined management responsibilities, and the methodology appropriate to a well-defined experimental situation, the Mission evaluator has found it difficult to translate evaluation results back into better plans and better projects. Thus, the PAR preparer pays a high price for his efforts, and while he generally receives value in return, he cannot be confident of achieving the project purpose.

Self-reinforcing management problems are at work in the Missions. Projects have not been clearly related to sector goals or explicitly to the programming process. This makes it difficult to allocate responsibilities for project performance, resulting in ambiguous project plans which further compounds the confusion as to who is responsible for what. Unless and until these problems are resolved, improvements in evaluation will depend solely on the art and judgment of the Mission Project Managers--who are not yet well equipped for the task.

TABLE 4-1

USAID Allocation of Responsibilities for PAR Preparation

LEVEL	Direct Hire	PASA	Contract	Total
Technician	6	2	2	10
Project Manager	13	1	7	21
Technical Division Chief	7	1	0	8
PEO or Program Officer	4	0	0	4
TOTAL	30	4	9	43

TABLE 4-2

ANALYSIS OF PAR DOCUMENT: PREPARATION COSTS, SOURCE OF DIALOGUE, AND UTILITY TO MISSION

PAR DATA ELEMENT	PAR SECTION TITLE	HIGH COST		LOW COST		INITIATED DIALOGUE		UTILITY AS REPORT TO USAID			
		ONE TIME	RECUR- RING	ONE TIME	RECUR- RING	NONE	ABOUT DATA ONLY	ABOUT KEY ISSUES	LOW	MEDIUM	HIGH
008	PART I-A General Narrative Statement	X	X					X		X	
011	PART I-C.1 Relation to Sector and Program Goals			X	X			X	X		
012	Narative for PART I-C.1	X	X					X	X		
N/A	PART I-C.2 General Questions			X	X	X			X		
021	Narrative for PART I-C.2			X	X	X			X		
022	PART II-A.1 Status of Schedule-Individual Actions	X			X		X			X	
023	PART II-A.2 Overall Timeliness			X	X			X		X	
N/A	PART II-B.1 Factors Implementing A gency			X	X			X		X	
N/A	PART II-B.2 Factors-Participant Training	X			X		X		X		
N/A	PART II-B.3 Commodities			X	X		X		X		
079	Narrative for PART II-B			X	X			X		X	
N/A	PART III Role of the Cooperating Country			X	X			X	X		
106	Narrative for PART III			X	X			X	X		
107	Narrative for PART IV-A Effective Purpose and Design			X	X			X	X		
108	PART IV-B Proposed action			X	X			X	X		
109	Narrative for PART IV-B			X	X			X	X		
009	PART I-B.1 Output Report and Forecast	X			X		X		X		
010	PART I-B.2 Overall Achievement of Project Targets			X	X			X			X

TABLE 4-3

ESTIMATE OF PAR WORKLOAD AT THE MISSION

MISSION PERSONNEL	MAN-DAYS			TOTAL
	Preparation	Review	Reporting	
1. PROJECT MANAGER	3-5	1	1	5-7
2. PROGRAM EVALUATION OFFICER	3	1	1	5
3. TECHNICAL MANAGEMENT	.5	.5		1
4. NON-TECHNICAL MANAGEMENT	.5	.5		1
TOTAL	7-9	3	2	12-14

TABLE 4-4

PAR-INDUCED CHANGES IN FRY SAMPLE
REVEALED THROUGH ON-SITE ANALYSIS

LEVEL OF CHANGE INDUCED BY PAR	FREQUENCY OF OCCURRENCE	
	No.*	%**
MEANS OF ACCOMPLISHMENT MODIFIED	9	20.9
OUTPUT TARGETS MODIFIED OR RESCHEDULED	11	25.5
PROJECT REORIENTED TO CLARIFIED HIGHER GOALS	5	11.6
TOTAL NUMBER OF CHANGES***	25.	Non-add

* Refers to the number of projects out of the sample of 43 in which each level of change was observed. These numbers are not exclusive -- on occasion projects were changed at more than one level.

** Refers to the percentage of the sample of 43 projects for which this data was collected.

***As indicated by (*) above, the total number of changes does not necessarily correspond to the total number of projects changed.

TABLE 4-5

LEVEL OF MISSION PAR REVIEW AND
THE FREQUENCY OF REPORTED PROJECT CHANGES

Level at which PAR was reviewed	No. of Projects	
	Reviewed	Changed
Project Manager	8	1
Division Chief	17	3
Multi-Sector Management	16	6
Total Observations	41*	10

* We were unable to fix the level of review in 2 of the 43 sample projects for which this data was collected.

TABLE 4-6

EFFECTS OF CONTROVERSY ON
ABILITY OF PAR TO INDUCE CHANGE

Degree of Controversy Caused by PAR	No. of Projects		
	Changed	Unchanged	Total
Little discussion	8	19	27
Persistent disagreement eventually resolved	2	8	10
Differences not reconciled, settlement imposed	2	4	6
TOTAL	12	31	43

TABLE 4 - 7
PERCEPTION OF PAR VALUE

A. <u>BY LEVEL OF RESPONSIBILITY</u>	<u>Felt PAR Value Exceeded Cost</u>
1. Technician	30%
2. Project Manager	75%
3. Division Chief	49%
4. Multi-Sector Manager	68%
B. <u>BY ROLE IN PAR PROCESS</u>	
1. None	47%
2. Source of Data	63%
3. Reviewed	72%
4. Filled out	75%

TABLE 4 - 8

INADEQUATE UNDERSTANDING OF PROJECT PURPOSE

A. LEVEL OR RESPONSIBILITY

1. Technician	48%
2. Project Manager	42%
3. Division Chief	53%
4. Multi-Sector Manager	25%
TOTAL POPULATION*	43%

B. EMPLOYMENT CATEGORY

1. Direct Hire	40%
2. Contract	50%
3. PASA	70%
TOTAL POPULATION*	43%

* These data are based on 167 interviews in NESAs, EAs, and LAs. We did not record this data for 43 persons: 22 in the regions mentioned and the 21 people interviewed while testing PAR improvements in Africa.

TABLE 4 - 9

LACKED EXPLICIT PERSONAL WORK PLANS

A. LEVEL OF RESPONSIBILITY

1. Technician	85%
2. Project Manager	77%
3. Division Chief	71%
4. Multi-Sector Manager	38%
TOTAL POPULATION*	80%

B. EMPLOYMENT CATEGORY

1. Direct Hire	80%
2. Contract	70%
3. PASA	95%
TOTAL POPULATION*	80%

* Refer to footnote on Table 4 - 8.

TABLE 4 - 10

STRONG FELT-NEED FOR BETTER GUIDANCE

A. LEVEL OF RESPONSIBILITY

1. Technician	90%
2. Project Manager	65%
TOTAL POPULATION*	75%

B. EMPLOYMENT CATEGORY

1. Direct Hire	77%
2. Contract	70%
3. PASA	80%
TOTAL POPULATION*	75%

* Refer to footnote on Table 4 - 8.

TABLE 4 - 11

FELT UNABLE TO OBTAIN APPROPRIATE ATTENTION
FOR ISSUES RAISED DURING PAR PROCESS

A. LEVEL OF RESPONSIBILITY

1. Technician	54%
2. Project Manager	45%
TOTAL POPULATION*	45%

B. EMPLOYMENT CATEGORY

1. Direct Hire	39%
2. Contract	62%
3. PASA	78%
TOTAL POPULATION*	45%

* Refer to footnote on Table 4 - 8.

TABLE 4-12

HOST COUNTRY ROLE IN EVALUATING AID PROJECTS

	<u>NUMBER OF HOST COUNTRIES*</u>
None	6
Important Source of Data in PAR Preparation	4
Was Informed of Evaluation Results	1
Reviewed PAR Before Submission	1
Influenced Replanning	1
Conducted Independent Evaluation	3

*Numbers are not exclusive; where the host participated at all, it frequently did so in more than one capacity.

TABLE 4-13

EFFECTS OF HOST PARTICIPATION
ON THE PAR PROCESS AND REPORT

	<u>Correlations</u>	
	<u>With Consultation</u>	<u>With Sharing Results</u>
<u>A. ON THE PAR PROCESS</u>		
1. Net PAR value to the Mission - study team perception	-.042	+.210
2. Net PAR value to the Mission - Mission perception	+.060	+.096
3. Overall project rating	-.256	-.174
<u>B. ON THE PAR REPORT</u>		
1. Important change reported	-.170	-.137
2. Accuracy of AID/W PAR	+.028	+.178

TABLE 4-14

ASSOCIATION BETWEEN THE NET PAR VALUE TO THE MISSION
AND THE CHARACTERISTICS OF THE MISSION PAR PROCESS

Characteristics of The Mission PAR Process	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. High level of preparing PAR	-.136	-.112
2. Higher level of making original decision about overall project rating	+.246	-.009
3. Highest level of genuine PAR review	+.231	+.165
4. Move extensive Program Office involvement in PAR review	+.030	-.138
5. Higher level of revised evalua- tive conclusions	-.277	-.019
6. Greater degree of project-specific experience and insight of PAR preparer	+.196	+.138
7. Greater degree of controversy caused by PAR	+.100	+.387

TABLE 4-15

ASSOCIATION BETWEEN THE NET PAR VALUE TO THE MISSION
AND CONSULTATION DURING PAR PREPARATION

Sources Consulted During PAR Preparation	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. Host Officials	+ .060	- .042
2. Program Office	+ .187	- .037
3. Contractor	- .054	+ .027
4. PASA	- .174	+ 071

TABLE 4-16

ASSOCIATION BETWEEN NET PAR VALUE TO MISSION
AND DIALOGUE ABOUT PROJECT TARGETS

Extent of Dialogue About Project Targets	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. Developed by PAR preparer alone	+0.035	+0.049
2. Obtained from existing documents	-.137	+0.020
3. Established through limited dialogue	+0.175	+0.235
4. Established through extensive dialogue	+0.060	+0.160

TABLE 4-17

NET PAR VALUE TO THE MISSION:
ASSOCIATION WITH DIALOGUE ABOUT HIGHER GOALS

Extent of Dialogue About Higher Goals	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. Unclear how obtained	-.224	-.172
2. Obtained from the Country Field Submission (CFS)	-.175	+.261
3. Obtained from the Project Budget Submission (PBS)	+.175	+.161
4. Obtained from other documents	-.411	-.143
5. Obtained from Program Office	+.271	+.076
6. Developed or clarified through extensive dialogue	+.439	+.323

TABLE 4-18

NET PAR VALUE TO MISSION:
ASSOCIATION WITH SHARING EVALUATION RESULTS

Parties with Whom Evaluation Results were Shared	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. Contractor Personnel	+ .026	- .024
2. PASA Team	- .225	- .068
3. Host Officials	+ .096	+ .210
4. Discussed at length with non- technical Mission management	+ .354	+ .388

TABLE 4-19

NET PAR VALUE TO MISSION:
ASSOCIATION WITH PROJECT-RELATED CHANGES RESULTING FROM PAR PROCESS

Project-Related Changes Resulting from PAR Process	Correlation with Net PAR Value to Mission	
	Mission Assessment	Study Team Assessment
1. No Change	-.376	-.556
2. Means of accomplishment modified	+.113	+.237
3. Output targets modified or re scheduled	+.289	+.440
4. Project reconvered to clarified higher goals	+.205	+.265
5. Change in project manager perceptions and communications about project	+.310	+.341

TABLE 4-20

ANALYSIS OF THE PAR AS
A MISSION-LEVEL INFORMATION SYSTEM

SYSTEM DESIGN PARAMETERS	NESA	EA	LA	AFR	WORLD
1. Strong Policy Direction	3.3	2.3	2.8	1.5	2.5
2. Emphasis on Output Capability	2.7	2.3	2.5	1.5	2.3
3. Support for Multi-Project Aggregations	1.7	1.3	2.0	1.5	1.6
4. Use in Management Reviews	3.3	2.3	3.0	3.0	2.9
5. Significance of Data Generating Events	3.3	2.3	2.3	2.0	3.0
6. Efficiency of Data Collection	3.3	2.3	2.8	2.0	2.6
COMPOSITE RATINGS *	2.9	2.2	2.6	1.9	2.5

* Missions were rated on a scale of 5.

"1" was lowest and "5" was highest. Thus a rating of all "5's" would indicate an optimum system.

TABLE 4-21

ANALYSIS OF THE PAR AS
AN AID/W INFORMATION SYSTEM

(Based on a five-point scale: "1" is lowest; "5" is highest;
"3" is "satisfactory" rating for continuing operation)

SYSTEM DESIGN PARAMETERS	REGIONAL BUREAUS				AID/W COMPOSITE
	NESA	EA	LA	AFR	
1. Strong Policy Direction	4.0	1.0	1.0	3.0	2.3
2. Support for Multi-Project Aggregations	2.3	3.0	1.0	2.0	2.1
3. Emphasis on Output Capability	2.3	1.0	2.0	3.0	2.1
4. Use in Management Reviews	2.7	2.0	1.5	3.5	2.4
COMPOSITE (AVERAGE) RATINGS*	2.8	1.7	1.4	2.8	2.2

* These ratings are highly subjective assessments (averaged for our three-man team) indicative of the point in time at which we happened to examine the AID/W PAR process. The point of these assessments is that the PAR System cannot work unless and until some improvements are made.

TABLE 4-22

MISSION ASSESSMENT OF PAR VALIDITY*

	Agrees With PAR	Disagreement	
		Minor	Major
1. Prepared PAR	85%	8%	7%
2. Participated in PAR Process	75%	20%	5%
3. No PAR Involvement	60%	30%	10%

*These data are based on 167 interviews with NESAs, EA, and LA.

TABLE 4-23

MISSION ASSESSMENT OF PAR CREDIBILITY*

1. Able to obtain management attention for issues raised in PAR	50%
2. Unable to obtain appropriate attention, for key issues	21%
3. Anticipated management reluctance to address issues and did not raise them	24%
4. Not rated	5%

*These data are based on interviews with 37 PAR preparers NESAs, EAs and LAs.

Table 4-24

FRY ASSESSMENT OF PAR
VALIDITY FOR 42 PROJECTS *

		<u>No. of Projects</u>	<u>% of Sample</u>	
Reported Candidly	1. Accurately described project	12	29	Key Issues Reported
	2. Subtle but significant differences	9	21	
	3. Key issues not raised			Key Issues Not Reported
a. Not explicit in Mission**	14	33		
b. Explicit but suppressed	4	10		
Edited	4. Seriously misrepresented project	3	7	

Total: 42 100

*We did not collect this data for 1 of the 43 sample projects studied in depth.

**Item 3a can be interpreted as cases where the Mission failed to unearth the important issues.

CHAPTER V: RESEARCH AND ANALYSIS WITH PAR DATA

A. INTRODUCTION

As part of the study of the PAR system, a research effort was undertaken to test the feasibility of using PAR data to improve technical assistance projects. The research results led us to conclude that PAR data can be used for research about technical assistance. PAR data is potentially valuable evidence for management and decision-making as well as for research about the nature of technical assistance.

Our research effort using PAR data was useful in analyzing one issue of importance to the Agency--improving project evaluation. The data were sufficiently valid to be useful. Relatively unsophisticated analysis of "serious" problems yielded some insight into TA projects. Flaws identified in the PAR have been remedied and improvements in project planning at the Mission level should lead to better data about dependent variables. There are no insuperable obstacles in data collection, transformation into a computerized data base, analysis, or translation into useful research findings. In fact, several specific lines of inquiry are suggested as attractive for further research.

The remainder of this chapter is divided into three sections.

- the need for research about technical assistance
- the Fry research effort--what was done with what results

- proposed research and the use of PAR data

An annex to Chapter V contains some products of the Fry research effort.

- Ten summaries of PAR responses: 321 PARs -- worldwide and 4 regional summaries -- both in absolute numbers and as percentages (Exhibits A to J)
- Regional comparisons of PAR responses: frequency and seriousness of problems (Exhibit K)
- An example of detailed analysis of association between "overall achievement of project targets" (dependent variable) and independent variables coded in the PAR. (Exhibit L)
- Coding sheets (Exhibit M)
- A paper on testing development hypotheses (Exhibit N)
- Description of computer programs and data files (Exhibit O)

B. THE NEED FOR RESEARCH ABOUT TECHNICAL ASSISTANCE

After more than twenty years of technical assistance to less developed countries (LDCs), AID is, and should be, sensitive about criticism that its projects are not well managed. Observers inside and outside of the Agency have noted the lack of lateral transfer of experience from one project to another. The Fry Consultants noted that they themselves were becoming an informal communications channel, carrying information about what

was going on in other Missions -- information that had transfer value but for which there was no normal channel.

The defense for current practice has been that the heterogeneity of technical assistance projects severely limits transfer value. Projects are distributed in a variety of cultures and economic sectors. Varied types of assistance are offered (advisors, training, commodities). And, after all, economic development is still an art rather than a science.

Yet the fact is that there are strong family resemblances among the projects supported by AID, and many projects could profit from sharing experience. Lack of information about similar projects does not automatically result in project failure. However, it does omit the options recognized by Mission management, and restricts the evidence available for making important decisions. In the best situations, people within the Mission or on AID/W supporting staff supply the required alternatives and evidence from their personal experience; too often decisions are improvised based on the intuition and insight of the men on the firing line. Improvisation is unavoidable in some situations -- systematic management is superior when it can be used.

The bridge between technical assistance being "manageable in principle" and "well managed in fact" is good information and good judgment in making choices among alternatives. Good management uses facts and evidence to the extent possible, not just artfulness and personal experience. Good planning requires knowing the options available and making a realistic assessment of expectations. Monitoring for deviations from plan becomes

most useful when it is clear which deviations are important. Adaptation to changing circumstances will be effective only if the genuine alternatives are understood.

An AID memory about technical assistance is a powerful tool for systematic research about technical assistance. Inputs, outputs, purposes, and goals can be analyzed to develop better insight into what we are doing now. Questions to be answered will include, for classes of projects:

- What was expected?
- What was achieved?
- What were the important problems?
- How might they have been anticipated?
- What alternatives succeeded?
- What were the alternatives that managers considered relevant?

Managers will find the data in an AID/W memory useful when they can relate it to the problems before them. They want evidence to help make decisions. Research can be helpful to them in several ways:

1. Identifying projects that may have transfer value.
2. Showing how others have planned similar projects.
3. Clarifying the seriousness of deviations from plan.

4. Clarifying courses of action that are alternatives to the current plan.
5. Identifying problems and sources of strength frequently associated with projects of a given type.

C. THE FRY RESEARCH EFFORT -- WHAT HAS BEEN DONE

The Fry research is described in six sub-sections.

- (1) The purpose of the research -- What questions were asked?
- (2) Data collection -- the quality of PAR data.
- (3) Preparing data for computer analysis -- coding and data organization.
- (4) Analysis -- What kind of analytical techniques were used?
- (5) Usefulness -- What was done with the results of the analysis?
- (6) Limitations of the Fry research effort.

1. The Purpose of the Research -- What Questions Were Asked?

Fry Consultants launched two distinct but related research efforts to use PAR data for improving management of technical assistance:

- (a) Testing the feasibility of using PAR data for analyzing classes of technical assistance projects; and
- (b) Analysis of the PAR preparation process in the 43 cases of completed PARs for projects visited by Fry Consultants. PAR data plus a separate data file based on interview notes were converted into evidence for real decisions about redesigning the PAR system.

In analysis of TA projects, the questions asked were:

- (a) What were the common problems for TA projects? Common problems were the factors frequently identified in the PAR as having significantly negative effect on the project.
- (b) How serious were the problems? Seriousness was measured by the average rating of "overall achievement of project targets" (abbreviated "rating" hereafter). If projects with problem "X" had a significantly lower average rating than projects without problem "X", then it was serious.

In the second part of the research -- analysis of the PAR process -- six different dependent variables were used:

- (a) Rating of overall achievement -- a measure of bias in the PAR process since the rating should not depend on who did what in the evaluation.
- (b) Recommendation of important change -- the PAR process should lead to replanning when appropriate; when did it happen?
- (c) Net value of the PAR process perceived by the Mission (abbreviated NVM) -- what characteristics of the PAR process are associated with a positive NVM (versus zero or negative)?
- (d) Net value of the PAR process perceived by Fry (abbreviated NVF) -- what characteristics of the PAR process are associated with a positive NVF (versus zero or negative)?

- (e) Accuracy of the PAR report -- what conditions were associated with candid reporting? accurate reporting?
- (f) Estimated cost of the PAR process in man days -- what factors made the PAR costly or cheap to the Mission?

"Overall achievement" is from the PAR (block 010). An "important change" is any checklist response in Section IV-B of the PAR except "no change", "minor change in PIP", and "other". The other four dependent variables were taken from Fry interview data.

2. Data collection -- The Quality of the PAR Data

The quality of the PAR data was imperfect but surprisingly good. Mission visits suggested that USAID personnel generally attempted to report accurately in the PAR. Deficiencies were mainly due to lack of understanding by the PAR preparer. There were some other data problems.

- Very important factors were not distinguishable from trivial factors that were relevant to the project.
- The outputs section of the PAR was treated cavalierly or badly in most PARs.
- Preparers sometimes do not omit 000 in cost figures.
- There are 232 projects that failed to mark "no commodities" but only 18 of these marked FFF or non-FFF commodities (11 and 117) respectively.

- Checklist responses in Section IV-B are inconsistent with the text of Section IV-B.
- PAR preparers successfully resisted quantification in spite of the major thrusts in the PAR toward that end.
- Unexpected responses were uncomfortably common --- e.g. asterisks were used to mark host factors that were targets to be changed by the project (dependent variables) rather than independent variables influencing the success of the project. A PAR for a project with more than one implementing agent or host organization might respond "P/N" to a question.

A more serious flaw in data quality was confusion about the dependent variables. Project managers did not know what was expected of their project and therefore could not realistically report expectations or compare actual achievement with prior expectations. The deficiencies of the PAR resulted from two weaknesses of project planning: lack of focus and lack of explicitness. The space in the PAR for four goal statements sometimes led to listing four sector goals whether they were germane to the project or not. Few projects used objectively verifiable indicators to measure their expectations and actual achievement. We were asked the following questions reflecting confusion about what to assess:

- Could any project with only a few people have a high impact on broad country goals?
- Was it fair to rate a project unsatisfactory when the Implementing

Agent had done everything possible under the circumstances?

-- What should the rating be when the project was effective but behind schedule?

Nevertheless, on balance the rating of "overall achievement" was a useful measure of relative success of projects. Ratings were spread over a seven point scale. There was some upward bias in ratings -- though most PAR preparers called projects as they saw them. PARs without ratings were usually new projects.

Other dependent variables were less useful. Timeliness was less useful as a dependent variable because 192 projects were "on schedule" and 99 were "behind schedule" leaving only 13 ahead of schedule -- it reduced to a two-point scale. Furthermore, the values of AID decision-makers appeared to emphasize effectiveness far more than timeliness in their subjective assessments of project success. The goals data were not useful as dependent variables because as many as four different goals were given for the same project. There were 823 goals listed for the 321 PARs in the computer file; of these goals, 499 were marked "very important" for potential impact. Upon reflection it was clear that successful performance relative to any one important goal could be sufficient to make a project an outstanding success, so it would be difficult to code this information as a useful dependent variable; furthermore, Mission visits revealed that statements about goals in the PAR had little significance beyond the PAR documentation. The goals were typically described in sweeping terms; actual impact was not measured at all, much less measured by objectively verifiable indicators.

It was not feasible to identify leading indicators (predictors) of success or failure of a project, since there was only one year of data for any given project. However, further research in this area is recommended, using FY 70, 71, and 72 PARs.

3. Preparing Data for Computer Analysis -- Coding and Data Organization

Fry Consultants had 321 PARs to analyze in February, 1970. The one hundred twenty-three easily coded data elements in the PAR were transcribed to a coding sheet (Exhibit M in the Annex). Coding was done by clerical staff with minimal training. The coding was relatively simple:

<u>Response</u>	<u>Coding</u>
No or negative	1
Yes or positive	2
Items requiring X response or blank	1 or 0 respectively
Other blanks	8
Unexpected responses	9
financial data (000 omitted) (e.g. 101,000 with 000 omitted = 101 or 3 digits, therefore --- 3)	# of digits

The format for storing PAR data was compatible with the format used for data from the Activities Characteristics Sheet (ACS) -- the first 13 columns for the project identification number and column 80 for card identification. The data from one PAR almost filled two cards. The data was entered through a time-sharing terminal by clerical staff after some training by International Telephone and Telegraph personnel. The PAR data were stored in data files for

NESA, East Asia, Latin America, and Africa.

The Project Identification number created considerable difficulty. PAR numbers did not correspond perfectly to the numbers used for the ACS or the U203. This was a particular problem for "basket" projects -- where a number of PARs were prepared for a project having a single eleven-digit identification number. Two additional digits were used to distinguish sub-projects, using .00 for projects with a single PAR. Projects with more than one PAR were distinguished by the numbers .01, .02, .03, etc. in the 12th and 13th digits. This coding system permitted discriminating between .01 and .10 in a project with more than 9 sub-projects. There were PARs within the Agency that had no identification number (FFF projects), projects with letter suffixes, and projects with number suffixes.

ACS and PAR identification numbers differ in many cases. A computer program was developed and delivered to the Agency to select projects from the PAR data file and punch their identification numbers on cards for use with ACS data. We were informed that simple modifications to the programming for the ACS could convert these identification numbers into a form usable with the ACS identification numbers. Consideration was given to using ACS data as dependent variables together with PAR data. It was decided that the limited time and budget for this effort would be better used for analysis of the PAR process in projects visited by Fry Consultants. There were ample important problems to resolve by adding interview data to the PAR data: mating of the two data files to exclude unmatched observations, modification of computer programs to analyze the newly merged file, and generalizing our thinking about research and analysis to the use of PAR

data together with data from other sources.

Classification of projects required a judgment about what projects were similar enough to profit from each other's experience. There were a variety of groupings of technical assistance projects that could plausibly be useful to AID and USAID decision-makers. For example, the most obvious ways to classify projects were by geographic location (Region or Mission) or by sector. Since it was important to consider the possibility of regional differences for designing the PAR system, regional classification was used to illustrate comparisons among groups of projects. Since research with PAR data eventually would require classifying the data in a variety of ways it was essential to have a flexible data base. The optimum flexibility would permit the analyst to group PARs by any desired characteristic or combination of characteristics that were coded in the data base to define the universe for his analysis. For example, the universe for analysis might be based on country, activity code, project successfulness, the use of participant training, "FFF commodities were an important part of the project", "current year funding exceeds one-hundred thousand dollars", etc., or any combination of these characteristics. After grouping PARs according to any of these classifications, it should be possible to retrieve the project identification numbers (printout or punched cards) to facilitate work with a different computer system or non-computer research with documents. It should also be possible to retrieve the appropriate PAR data from the data base and analyze it. All these capabilities have been developed.

4. Analysis -- What Kind of Analytical Techniques Were Used?

Four basic kinds of analysis that can be done with PAR data are discussed in this section.

- (a) summarizing PAR responses,
- (b) comparison of PAR responses classified according to geographic region, activity code, or another variable,
- (c) analysis of the relationships between dependent and independent variables -- analysis, formulation of hypotheses, and testing of hypotheses,
- (d) comparisons among alternative approaches to achieving a desired result -- cost/benefit analysis, cost/effectiveness analysis, feasibility studies, program budgeting (discussed below but not used in the Fry research).

a. Summarizing PAR Responses

Summarizing PAR responses was a useful and relatively simple analytical task. A computerized data file was not essential. The responses to 321 PARs have been summarized in Exhibits A to J in the Annex. The PAR form was used as the format for the summary. Worldwide Exhibit A presents the number of PARs with each expected response. Worldwide Exhibit B presents the same data expressed as percentages of the number of PARs that might have contained the actual response -- for example, in the Implementing Agency section, "timely recruiting" had a negative

effect in 20.7% of the PARs that had an implementing agent. Similar summaries have been prepared for the East Asia region (Exhibits C & D), for NESAs (Exhibits E & F), for Latin America (Exhibits G & H), and for Africa (Exhibits I & J).

b. Comparisons of PAR Responses by Region

For analysis it is frequently convenient to juxtapose the responses of different groups of PARs. The regional comparisons in the Annex illustrate a format for comparisons. This type of analysis highlights important regional differences.

c. Analysis of Relationships Between Dependent and Independent Variables

The data base contains information about dependent variables (the results of projects) and data about independent variables (inputs and other relevant characteristics of the project environment). The function of research was to establish how the dependent variable was related to the individual independent variables. In more sophisticated research, the effects of several independent variables could be analyzed at the same time. This degree of sophistication (multiple regression) was not considered appropriate to the current study.

Two kinds of analysis were done with PAR data:

- Average rating for a given response (conditional probabilities), and
- Correlations.

The first question addressed was "What has been the average success of projects that have the following characteristic?" This type of analysis was particularly appropriate for analyzing "how serious were the problems reported in the PAR?" If a problem was serious, presumably the "overall achievement" in PARs with a factor marked "negative" would be substantially lower than in PARs that were not marked "negative". Statistical tests could be used to measure how much the average successfulness might differ by chance if there were no relationship between the problem and overall success -- so it would be possible to formulate and test hypotheses rigorously. With PARs for a large and representative sample of TA projects, the average rating for projects in the sample could be interpreted as the "expected value" (average) for success of projects outside the sample that have the same characteristic; that is, if it was a serious problem for projects in the sample, it was likely to be a serious problem on average for projects outside the sample too. Every factor where a negative response could be made on the PAR was analyzed and reported in the regional comparison of PAR responses below (Exhibit L in Annex).

Correlations were used to answer questions such as "What factors were associated with success in TA projects?" The correlation measures the association between an independent variable (e.g. counterpart planning skills) and overall rating of the project. If there was zero correlation (or if the correlation was near enough to zero that it could have occurred by chance with no true relationship), then there was no evidence that a relationship existed. If there were a high positive or negative

correlation (close to 1.00 or -1.00), it would be evidence to support the theory a relationship existed. (The actual correlation for counterpart planning skills is .364 with 229 PARs included in the correlation. The probability of such a high correlation happening by chance is less than 1/2 of 1%.)

Correlations were not very helpful for analyzing existing PAR data alone because "P" responses had little information content. That is, a "P" response was interpreted by the Missions to mean that the factor was relevant but its effect could be either positive or satisfactory. Thus, "P" responses in actual practice did not discriminate between trivial and important impact on the project. Consequently the average successfulness of projects with "P" rarely differed significantly from the average for all projects. In the revised PAR, the use of a three point scale for measuring impact on the project will remedy this defect and make future PAR data more useful for analysis with correlations. (Notice that correlations take into account sources of strength to a project as well as sources of difficulties.)

A computer program was developed for testing hypotheses about associations between any two variables in the data base. It was used to test hypotheses about associations between the dependent variable "overall achievement of project targets" and single independent variables. The computerized analysis gave the following information:

- A cross tabulation of the frequency of all responses;
- The average rating of the PARs with each response to the

independent variable;

- The average response to the independent variable for each level of the dependent variable (i.e., the characteristics of successful and/or unsuccessful projects could be read directly);
- The correlation between dependent and independent variables calculated from PARs that have meaningful data for both variables (PARs lacking data on a variable are collected under a category marked "other" and excluded from the correlation routine.)

Exhibit L is an annotated example of the format for analysis of up to ten independent variables individually but in a single computer run. Exhibit L also shows the instructions to the computer to execute the analysis -- indicating what the analyst must supply to the computer. A complete analysis of all items in the PAR has been delivered to the Agency with working papers from this study.

The analysis of "associations" was used to identify the "serious" problems" in technical assistance projects. There has been a tendency to look at the common problems because they were easy to count -- but how successful were the projects that have these problems? If the problem projects were as successful as projects without the problem, perhaps in the future management time should go to projects with other problems that are more likely to be fatal.

The most "common" problems usually were not the most "serious". Table 5-1 distinguishes the common problems from the most serious. Some of the

results differ from the conventional wisdom about TA projects.

- "Timely recruiting" by Implementing Agents was a common problem but not serious.*
- In participant training, "participant availability", "English language", and "availability of facilities/equipment after training" were all common problems. Only "post-training facilities/ equipment" was serious; (this was an item several experienced people felt could be safely struck from the PAR). Projects with English language problems were more successful, not less, than projects without the problem; what does that suggest?
- In commodities, "timely procurement" and "maintenance/spares" were common problems; "appropriate use of commodities" was infrequent but serious.
- Many host problems were common including "counterpart pay" and "reliable data", but they were not as serious as problems like "receptiveness to change", etc.

* There is some evidence suggesting that this reflects a downward revising in expectations as soon as the late arrivals become obvious.

TABLE 5-1
COMMON AND SERIOUS PROBLEMS
IN TECHNICAL ASSISTANCE PROJECTS

<u>FACTOR</u>	<u>COMMON PROBLEMS</u> (high frequency)		<u>SERIOUS PROBLEMS</u> (low average rating)	
	<u>Frequency</u>	<u>Average Rating</u>	<u>Frequency</u>	<u>Average Rating</u>
<u>Implementing Agents:</u>				
024 PARs With Implementing Agent	242	4.42	242	4.42
025 Technical Knowledge			6	3.83
026 Project Purpose			8	3.25
027 Project Planning and Management	29	3.76	29	3.76
028 Adapt Technical Knowledge to Local Situation			12	3.18
029 Effective Use of Participant Training			12	3.36
030 Train and Utilize Local Staff			12	3.42
034 Adherence to Work Schedule			15	3.80
036 Working Relations With Host Nationals			11	3.64
039 Timely Recruiting of Qualified Technicians	50	4.35		
<u>Participant Training:</u>				
041 PARs with Participant Training	261	4.42	261	4.42
042 English Language Ability	41	4.49		
044 Host Country Operational Considerations			23	3.86

* Factors are classified as common problems if a "Negative" effect on the project is indicated on 10% or more of PARs that might have had the problem. (i.e., at least 25 PARs for Implementing Agent problems, 27 for Participant Training, 24 for Commodities, or 33 for Host problems.)

** Factors are classified as serious problems when PARs with "Negative" have an average rating of less than 4.00 for overall achievement. (i.e., the middle of the seven point scale.) The average rating for all 321 PARs is 4.42.

<u>FACTOR</u>	<u>COMMON PROBLEMS</u> (high frequency)		<u>SERIOUS PROBLEMS</u> (low average rating)	
	<u>Frequency</u>	<u>Average Rating</u>	<u>Frequency</u>	<u>Average Rating</u>
<u>Participant Training (cont.)</u>				
046 Technical Orientation			4	3.50
050 Participants' Availability for Training	48	4.20		
052 Appropriateness of Original Selection			10	3.80
053 Relevance of Training for Present Project Purpose			4	3.75
059 Availability of Necessary Facilities and Equipment	31	3.93	31	3.93
<u>Commodities:</u>				
064 Total PARs with Commodities (62 + 63 do not total to 64)	232	*		
067 Timeliness in Procurement or Reconditioning	53	4.27		
068 Timeliness of Shipment to Port of Entry	35	4.34		
069 Adequacy of Port and Inland Storage Facilities			9	3.62
075 Appropriateness of Use of Commodities			10	3.40
076 Maintenance and Spares Support	42	4.02		
077 Property Records, Accounting and Controls	31	4.00		
<u>Host Country Factors:</u>				
Total PARs Analyzed	321	4.42	321	4.42
080 Cooperation Within and Between Ministries	90	4.16		
081 LDC Govt. and Non-Gov't. Institutions			25	3.92
082 Reliable Data	120	4.25		

Table 5-1
Page 3

FACTOR	COMMON PROBLEMS (high frequency)		SERIOUS PROBLEMS (low average rating)	
	Frequency	Average Rating	Frequency	Average Rating
<u>Host Country Factors (cont.)</u>				
083	Competence/Continuity in Executive Leadership	86	4.11	
084	Host Country Project Funding	85	4.13	
085	Legislative Changes	48	4.21	
086	Project-related LDC Organization	48	3.72	48 3.72
087	Procedural and Bureaucratic Problems	104	4.03	
088	LDC Physical Resource Inputs/ Support	78	4.17	
089	Maintenance of Facilities and Equipment	65	4.18	
091	Receptivity to Change and Innovation	41	3.61	41 3.61
092	Political Conditions	54	4.06	
093	Ability to Implement Project Plans	65	3.78	65 3.78
094	Expand the Impact After U.S. Inputs Terminated	61	4.14	
095	LDC Efforts to Disseminate Project Benefits			15 3.80
096	Utilization of Trained Manpower	34	3.71	34 3.71
099	Technical Education/Experience	76	4.12	
100	Planned and Management Skills	103	3.97	103 3.97
101	Technician Man-years	71	4.38	
102	Continuity of Staff	52	4.25	
103	Willingness to Work in Rural Areas	45	4.16	
104	Pay and Allowances	135	4.29	
105	Other			12 3.75

Correlations were used extensively for analysis of the PAR process in the sample of 43 projects that had submitted PARs and were visited by Fry.*

The results of each part of the analysis follow, organized by the dependent variable:

1. Rating of overall achievement was a measure of bias in the PAR preparation and review process (who was consulted, who shared the results, etc). The analysis suggests rating was independent of the level of the preparer (correlation = $-.046$); the review ($-.041$); and the accuracy of the PAR as the report to Washington ($-.070$).** However, low ratings were associated with "controversy" created by the PAR (correlation = $-.298$); consultation with non-AID personnel did not appear to bias ratings upward (evidence: correlation of rating with host consultation = $-.256$; contractor consultation = $-.200$; PASA consultation = $-.094$). "Sharing results" with outsiders did

* The Fry sample from which all of these correlations were derived consisted of 43 projects in the NESAs, East Asia, and Latin America Regions. These projects were studied by Fry Consultants at the Missions and PARs had been submitted to Washington. There were less than 43 observations for some questions. A printout for all computer runs has been submitted to the Agency as a working paper but is not reproduced in this report.

** Correlations closer to zero than $.257$ or $-.257$ could have occurred by chance with a probability of more than 5%. A correlation farther from zero suggests there was a true relationship.

Statistical significance for a sample of 40 PARs:

<u>Correlation</u>	<u>Probability of a correlation differing from zero this much by chance alone</u>
.257	5.0%
.304	2.5%
.358	1.0%

not bias ratings upward either (evidence: correlation with "sharing results with contractor" = $-.435$; sharing with PASA = $-.038$; sharing with host = $-.174$).

2. Important Action Recommended. The end result of the PAR process is replanning when appropriate. All changes more drastic than "minor changes in the PIP" and "other" were coded as major actions. Major actions did correlate with the level of review ($.234$), but not with controversy ($-.010$). Important action was correlated positively with "targets derived from dialogue" ($.348$) and "targets dialogue was useful" ($.237$), and negatively with "targets derived alone" ($-.238$) or "targets from documentation" ($-.239$); important action was correlated with "useful dialogue about goals" ($.235$) and there were small negative correlations when results were "shared with contractors" ($-.097$), PASAs ($-.134$), and the host ($-.137$).

3. Net Value Perceived by the Mission (NVM). Net value to the Mission was classified positive, zero, or negative based on our discussions in the Mission. NVM was correlated positively with the level of the "decider" of overall rating ($.246$) and level of review ($.231$) but was relatively independent of accuracy ($-.122$) or controversy ($.100$). It was strongly associated with "useful dialogue on goals" ($.439$), and relatively independent of who was consulted (evidence: consultation with host = $.060$; with program office = $.187$; with contractor $-.054$; and with PASA = $-.174$). "Extensive program office and non-technical management review" was valuable ($.354$) and evaluations that led to

"change" in the project were perceived as valuable. (Evidence: correlation of ratings with "new means of implementation" = .113; new plan = .289; new goals = .205; new view of project = .310; and no change = -.376).

4. Net Value -- Fry Perception (NVF). NVF was associated with "controversy created by the PAR" (.387); with "targets derived from dialogue" (.235), "extensive program office and non-technical management discussions" (.388), and with "changes" in the plan (evidence: correlation with "new means of implementation" = .237; new plan = .440; new goals = .265; new viewpoint = .341; correlation with "no change" = -.556).

5. Accuracy. The accuracy of the PAR as a report to Washington was judged subjectively by Fry consultants on a 5-point scale.* The accuracy of PAR as a report was associated positively with PAR "preparers" higher in the Mission (.232) but negatively with "targets from documents" (-.311). It was positively associated with "extensive program office and non-technical management discussion" (.215) and with "changes" (evidence: correlations of accuracy with changes in the project were low but consistently positive as follows: new means of implementation = .245; new plan = .180; new goal = .139; new viewpoint = .071; but correlation with "no change" = -.295).

* 5-point scale: 1 = Seriously misrepresented project; 2 = Key issue not raised in PAR; issue made explicit but suppressed; 3 = Key issue not raised in PAR; issue not made explicit in Mission; 4 = Subtle but significant difference; 5 = Accurately described project -- no real change in perception based on field observations.

(6) Cost of the PAR Process. The cost analysis was unsuccessful because of (a) limitations of the computer program for dealing with a continuous variable and (b) inadequacy of the data about the cost of the PAR process.

The Fry research effort did not use techniques for analysis of several independent variables simultaneously (e.g., multiple regression, analysis of variance, factor analysis). The use of "P" responses for both "positive" and "satisfactory" effect on the project made existing data unpromising for scaling independent variables. Data from the revised PAR will be better. Another problem was having different factors relevant for each project. Common multi-variable analysis techniques assume that the same variables are relevant to all the observations. Since technical assistance projects described in PARs are heterogeneous, some factors are irrelevant for any given project; so, care must be used to define an appropriate subclass of projects before using multi-variable analysis.

d. Comparisons of Alternative Approaches. (Not done in Fry research.)

Program budgeting, cost-benefit analysis, cost-effectiveness analysis, and feasibility analysis have a common characteristic -- the need to define a universe of alternative approaches to achieve an objective. A flexible computerized data base could be used to identify a restricted universe of projects that have objectives sufficiently similar to merit comparison with one another. This would be an innovative form of analysis that was not done by Fry. Further comment appears in the section on promising line of inquiry for future research.

5. Usefulness -- What Was Done With the Results of the Analysis?

The results of research and analysis were oriented to serve the users.

The pilot research effort was directed to three users: (a) Fry Consultants to improve its analysis of project evaluation and to generate supporting evidence for recommendations; (b) Agency decision-makers who must judge the feasibility of research and analysis with PAR data; and (c) Agency personnel who will be charged with using PAR data for research and analysis.

The Fry research effort was useful for research about the PAR in the following ways:

a. Distinguishing Common Problems from Serious Problems and Challenging the Conventional Wisdom about Technical Assistance.

This subject was discussed extensively in the preceding pages.

b. Criteria for Selecting Check List Items to Retain in the Revised PAR.

A major complaint by USAID personnel was apparent redundancy in the PAR. Analysis of the PARs in the data base provided some evidence for selecting questions to be retained. The criteria were: retain items that were either (1) common problems ("negative" on 10% or more of PARs for which the question was appropriate), or (2) serious problems (the average rating was below 4.00 for PARs marked "negative"). Of course, judgment was used to edit, supplement, and delete items from the resulting list.

c. Judgments About the PAR Process

The analysis of interview data together with PAR data suggested issues to be investigated on subsequent Mission visits and confirmed subjective impressions from earlier Mission visits: For example:

- Dialogue was an important element in delivering value to the Mission;
- Consultation with or sharing results of the evaluation with contractors, PASAs, and host personnel did not bias upward the rating of overall achievement;
- The usefulness of the PAR process to a Mission was independent of the accuracy of the PAR report;
- It was desirable to involve the program office and non-technical management in project evaluation;
- The evaluations that result in changes were the valuable ones.

6. Limitations of the Fry Research Effort

Several limitations of the Fry research effort should be noted explicitly.

- (1) AID computer facilities were not used due to shortage of necessary programming support. Consequently programs developed under this contract will have to be modified prior to use on the AID computer system. No AID personnel have been trained in the use of this computerized data base.

- (2) The project identification numbers were not fully compatible with the data for the ACS. It probably is possible to "cross walk" but the numbers for a single project were not uniform among AID documents -- the ACS, U203, PAR, etc.
- (3) The 321 PARs in the data base were all of the PARs available to Fry Consultants in February, 1970. There may have been a bias in using only the PARs that were submitted "early." NESAs were overrepresented in the sample. Projects in trouble may have been underrepresented. (A quotable quote from a Mission visit -- "There has been no PAR on that project for ___ months; that means we are holding our breath and hoping the situation will improve.").
- (4) Shortcomings of the present PAR, such as the "P" response meaning satisfactory or positive, limited the usefulness of correlations and multiple regressions to investigate the nature of technical assistance with existing PAR data. The revised PAR will not be so limited.
- (5) Time series analysis was impossible because there was only one PAR for each project. It will be possible in the future, to attempt to identify "leading indicators" (predictors) of problems and of success.
- (6) Coding of text was difficult and was made more difficult by a high degree of variation in the types of entries that were made. Thus, we did not code text in tabular material. However, efforts -- as for example, coding outputs -- are strongly recommended.

- (7) We had considered devoting as much as six man-months to this effort; only one was spent in fact. Extensive computer work was postponed because of our skepticism about the validity of PAR data. When it became clear the data were usable, we were asked to devote all discretionary funds to the pressing issues of testing our recommendations, preparing for and attending four regional program evaluation conferences, and to some extent training and consulting with USAID and AID/W personnel.

D. PROPOSED RESEARCH AND THE USE OF PAR DATA FOR ANALYSIS

The next step is to create an institutional capability for research and analysis about technical assistance using PAR data. Action is required at USAID Missions and at AID/W to make the research useful.

1. Mission Actions

Four kinds of action are required at the Missions:

- a. Better project planning to define what is expected of TA projects,
- b. Better project evaluation including analysis of actual progress measured by objectively verifiable indicators,
- c. Accurate transmission of data via the PAR to the AID/W memory, and
- d. Indications from the Mission about how they can use research and analysis of PAR data.

The improvements at the Mission level are discussed adequately elsewhere in the report and need no further explanation.

2. AID/Washington Actions

AID/Washington must take primary responsibility for research and analysis with PAR data. The action plan recommends that a special Technical Assistance Research and Analysis (TARA) Task Force be established. The TARA Task Force must conduct a successful institution building project in AID/Washington that might be planned in the same logical framework used for analyzing

USAID projects. The project purpose is to improve the effectiveness and efficiency of technical assistance by research and analysis using PAR data. The indicators of "end-of-project status" that will signal successful completion of the TARA project purpose include the following:

- (1) Managers in AID/W or USAIDs who are potential users of TARA outputs have tangible evidence of research findings they find useful.
- (2) An organization within AID assumes responsibility for research and analysis about technical assistance with PAR data.
- (3) There is provision in the budget for FY 1972 to support the research.
- (4) A competent and experienced staff is available.
- (5) Computer usage is assured with a time sharing terminal, a data base including the FY 1971 PAR data, and completely debugged programs for analysis of aggregated data and for retrieval.

3. Promising Lines of Inquiry for Research with PAR Data

The questions that will be potentially useful to AID managers, using data from the revised PAR, differ somewhat from the questions investigated in the Fry research effort. There are at least six kinds of questions that might be usefully explored with PAR data:

- a. What kind of TA projects met USAID expectations?

- b. What were the common problems?
- c. How serious was each problem for success of TA projects?
- d. What were the determinants of success in TA projects? (formulating and testing hypotheses about the relationship between dependent and independent variables).
- e. What were the leading indicators (predictors) of success or failure of TA projects?
- f. What were the relevant alternatives available to the manager of a TA project?

We recommend that TARA consider four lines of inquiry with PAR data.

- (a) Improve planning through lateral transfer of experience
 - (b) Project analysis -- comparisons among projects to identify the determinents of success in a class of TA projects
 - (c) Analysis of alternative courses of action
 - (d) Improvement of the PAR and project evaluation
- a. Improve Planning Through Lateral Transfer of Experience

The mechanics of lateral transfer of experience should not be difficult -- a data retrieval system can identify the projects that have characteristics A and B and C and D. The user can get the names and identification numbers of projects with the characteristics that interest him

and then seek further information about those projects. Alternatively, he can request an analysis fo the stored data about all projects with characteristics A, B, C, and D.

The challenge will be to identify for users the classes of projects that can profit from comparison of experience. The obvious ways to group projects are by geography -- region or Mission -- or by sector.

- ACS categories
- Purpose focused on Institution building versus purpose focused on immediate accomplishments versus purpose emphasizing both
- Specific purpose or type of purpose
- Specific outputs or type of outputs
- Specific inputs or type of input
- Economic development vs. social development emphasis
- Substantial dependence on another donor
- Projects in small Missions
- Projects in the same phase of the "life cycle of a TA project" (a concept worth exploring)

Better initial plans and better replanning (when needed) would be expected as a result of the lateral transfer of experience. A manager

would have the benefit of knowing:

- How other projects formulated their purpose;
- What objectively verifiable targets were used;
- What problems were encountered at each stage of the project; and
- the successfulness of the projects.

Time series data should be explored within classes of projects to identify leading indicators of success or failure.

b. Project Analysis -- Comparisons Among Projects to Identify the Determinants of Success of a Class of TA Projects

The revised PAR will provide better data for testing hypotheses about determinants of success in technical assistance. Performance will be rated at the component level (e.g. Implementing Agent) as well as for the project as a whole. The PAR will have better data on project outputs and purpose; type of goals are in the ACS. Analysis of associations of single factors with success, like that done in the Fry research, will yield insight. Multiple factor analyses will also be possible. The PAR data will generate evidence to test and challenge the conventional wisdom about TA.

c. Analysis of Alternative Courses of Action

This is the most speculative application of AID/W memory. Cost/benefit analysis, cost/effectiveness analysis, feasibility analysis, and program budgeting all require defining an objective and then comparing

alternative routes to get to it. Normally the analysis is an ad hoc study that is artful rather than scientific. There has been little systematic work to provide evidence from projects elsewhere in the world or to develop convenient sources of information to broaden the range of experience considered in these studies. The data base would be useful if projects with a similar objective were identified and alternative approaches identified together with data on problems encountered and the entire scenario of the project as documented in PARs.

d. Improvement of the PAR and Project Evaluation

The PAR itself should be the object for continuing research. As data are received using the format of the revised PAR, there should be systematic analysis of the data to (1) provide useful feedback to the Missions, (2) improve the evaluation process, and (3) modify the PAR. For example, as better methods for classifying and coding outputs, purposes and goals are developed, they should be incorporated into the PAR.

A short paper on testing developmental hypotheses is in Exhibit N.

4. Demonstrating the Usefulness of Better Evidence About TA

The most important single function of the TARA task Force will be to demonstrate the usefulness of better evidence about technical assistance. Evidence about what was done and how successful it was will be useful inputs to management if -- and only if -- management uses the evidence for making important decisions. This implies a service orientation --

serving the felt needs of management. It also implies carrying research findings to the appropriate levels of management in a useful form.

TARA should be able to respond to the following kinds of requests:

a. Planning a Project with Characteristics A, B, C, D:

In other projects of type A, what kind of objectively verifiable targets were used? What problems were encountered in implementation? Where is detailed information about these projects?

b. Assessing Seriousness of Deviations from Plan

In projects with characteristic B, what has been the experience when problem X develops? (e.g. Institution Building projects when participants were not available; Cooperative Development projects when legislation did not pass as expected)

c. Developing Alternatives to the Current Plan

What projects have been attempted to do Y? What purposes were proposed? How successful were they? Where is more information? (e.g. development banks for private enterprise; primary education textbooks; family planning)

d. Testing the Conventional Wisdom

What kind of projects were affected negatively by lack of necessary equipment and facilities for returned trainees? How successful were projects that depended on reconditioned equipment from AID? Under what conditions were these projects successful? How successful were

projects that depended on critical inputs from U.N.D.P? What kind of problems were encountered? What donors have made important inputs and performed reliably for agriculture projects AID supported?

In summary, there are a variety of potentially valuable applications for an AID Washington memory about technical assistance. TARA must translate this potential into actual value for AID management.

ANNEX -- CHAPTER V.

TABLE OF CONTENTS:

- Exhibit A -- Summary of 321 PARs from . Worldwide (#s)
- Exhibit B -- Summary of 321 PARs from Worldwide (%s)
- Exhibit C -- Summary of 55 PARs from East Asia (#s)
- Exhibit D -- Summary of 55 PARs from East Asia (%s)
- Exhibit E -- Summary of 103 PARs from NESA (#s)
- Exhibit F -- Summary of 103 PARs from NESA (%s)
- Exhibit G -- Summary of 73 PARs from Latin America (#s)
- Exhibit H -- Summary of 73 PARs from Latin America (%s)
- Exhibit I -- Summary of 90 PARs from Africa (#s)
- Exhibit J -- Summary of 90 PARs from Africa (%s)
- Exhibit K -- PAR Analysis -- Regional Comparisons
- Exhibit L -- Annotated Example of Printout: Analysis of Associations Between "Rating" and Independent Variables Coded in the PAR
- Exhibit M -- Coding Sheets for PAR Data
- Exhibit N -- A More Complete Model for Developmental Hypotheses
- Exhibit O -- Description of Fry Consultants' Programs and Data Files Developed Under Contract No. AID/csd-2510

EXHIBIT A

AID 1020-25 (7-68)			SECURITY CLASSIFICATION		001 PROJECT NUMBER		
PROJECT APPRAISAL REPORT (PAR) (U-446)							
002 PAR		MO.		DAY		YR.	
AS OF:		21		27		0	
003 U.S. OBLIGATION SPAN			FY		Thru FY		
005 COOPERATING COUNTRY - REGION - AID/W OFFICE			Worldwide		004 PROJECT TITLE		
					Summary of 321 PARs from Worldwide (#'s)		

006 FUNDING TABLE												
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS		
			AIO	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)												
PROPOSED OPERATIONAL YEAR (FY 19)												
CCC VALUE OF P.L. 480 COMMODITIES (\$000) →			Thru Actual Year :				Operational Year Program :					

007 IMPLEMENTING AGENCY TABLE						
If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.						
TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/ PASA/ VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:	1.				
2. LOCAL CONTRACTOR		2.				
3. THIRD COUNTRY CONTRACTOR		3.				
4. PARTICIPATING AGENCY						
5. VOLUNTARY AGENCY						
6. OTHER:						

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activity	# PARs	Codes	Activity	# PARs
1	Agriculture	114	5	Health	33
2	Industry	16	6	Education	44
3	Transportation	6	7	Public Safety, Pub. Admin.	55
4	Labor	13	8	Social Welfare	18
			9	Private Enterprise, Misc.	21
				Other	1

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT A
Page 2 of 7

AID 1020-25 B (7-68)

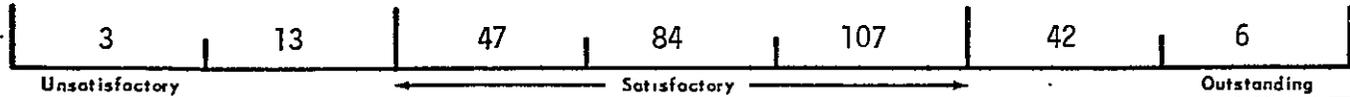
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE	
	b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)			
(1)	OR = other response or blank	3	48	
		2	209	
		1	46	
		OR	18	
		(2)	3	23
			2	167
			1	45
			OR	86
		(3)	3	14
			2	125
			1	23
			OR	159
		(4)	3	5
			2	54
			1	22
			OR	240

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

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AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		MARK IN THIS COL.	
		P	N
013	Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	53	255
014	Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	174	136
015	Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	51	250
016	If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	44	208
017	Have any important lessons, positive or negative, emerged which might have broad applicability?	192	111
018	Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	62	243
019	Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	154	153
020	Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	25	272
021	<u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

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AID 1020-25 E (7-68)

SECURITY CLASSIFICATION	PROJECT NUMBER
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PART II - Continued

023 II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	192
(b) Ahead of schedule	13
(c) Behind schedule	99
(1) AID/W Program Approval	11
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	23
(3) Technicians	23
(4) Participants	18
(5) Commodities (non-FFF)	24
(6) Cooperating Country	66
(7) Commodities (FFF)	4
(8) Other (specify):	24

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N			P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:			032	Quality, comprehensiveness and candor of required	148	24
				033	Promptness of required reports	143	24
025	Adequacy of technical knowledge	207	6	034	Adherence to work schedule	161	15
026	Understanding of project purposes	196	8	035	Working relations with Americans	167	5
027	Project planning and management	169	29	036	Working relations with cooperating country nationals	209	11
028	Ability to adapt technical knowledge to local situation	197	12	037	Adaptation to local working and living environment	190	6
029	Effective use of participant training element	136	12	038	Home office backstopping and substantive interest	154	23
030	Ability to train and utilize local staff	177	12	039	Timely recruiting of qualified technicians	118	50
031	Adherence to AID administrative and other requirements	122	11	040	Other (describe):	18	4

2. FACTORS-PARTICIPANT TRAINING

		P	N			P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:			TRAINING UTILIZATION AND FOLLOW UP			
				052	Appropriateness of original selection	159	10
PREDEPARTURE				053	Relevance of training for present project purposes	189	4
042	English language ability	143	41	054	Appropriateness of post-training placement	168	14
043	Availability of host country funding	140	26	055	Utility of training regardless of changes in project	149	2
044	Host country operational considerations (e.g., selection procedures)	165	23	056	Ability to get meritorious ideas accepted by supervisors	104	25
045	Technical/professional qualifications	186	22	057	Adequacy of performance	169	4
046	Quality of technical orientation	134	4	058	Continuance on project	149	20
047	Quality of general orientation	146	7	059	Availability of necessary facilities and equipment	99	31
048	Participants' collaboration in planning content of program	108	22	060	Mission or contractor follow-up activity	132	13
049	Collaboration by participants' supervisors in planning training	148	10	061	Other (describe):		
050	Participants' availability for training	155	48				
051	Other (describe):	11	6				

EXHIBIT A
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AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT	072 Control measures against damage and deterioration in shipment.	P	N
	21	17	89		93	8
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).			P 112		N 17	
066 Quality of commodities, adherence to specifications, marking.			128	073 Control measures against deterioration in storage.	100	9
067 Timeliness in procurement or reconditioning.			102	074 Readiness and availability of facilities.	98	24
068 Timeliness of shipment to port of entry.			93	075 Appropriateness of use of commodities.	139	10
069 Adequacy of port and inland storage facilities.			99	076 Maintenance and spares support.	83	42
070 Timeliness of shipment from port to site.			104	077 Adequacy of property records, accounting and controls.	103	31
071 Control measures against loss and theft.			108	078 Other (Describe):	2	14

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency; c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

EXHIBIT A
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:	P	N
080 Coordination and cooperation within and between ministries.	124	90
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	141	25
082 Availability of reliable data for project planning, control and evaluation.	106	120
083 Competence and/or continuity in executive leadership of project.	164	86
084 Host country project funding.	162	85
085 Legislative changes relevant to project purposes.	89	48
086 Existence and adequacy of a project-related LDC organization.	168	48
087 Resolution of procedural and bureaucratic problems.	97	104
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	144	78
089 Maintenance of facilities and equipment.	126	65
090 Resolution of tribal, class or caste problems.	55	16
091 Receptivity to change and innovation.	201	41
092 Political conditions specific to project.	95	54
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	169	65
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	172	61
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	167	15
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	198	34
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	71	26
098 Other:	8	12
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	160	76
100 Planning and management skills.	133	103
101 Amount of technician man years available.	141	71
102 Continuity of staff.	161	52
103 Willingness to work in rural areas.	124	45
104 Pay and allowances.	70	135
105 Other:	5	12

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT A
Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	103
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	45
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	13
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	16
5. Substantively revised. PROP will follow.	23
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	29
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___. Explain in narrative.	14
8. Other. Explain in narrative.	72

109 NARRATIVE FOR PART IV-B:

*Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT B

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR) (U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 321 PAR's in Worldwide Data File (%'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE Worldwide					

AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000)	Thru Actual Year :	Operational Year Program :
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007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY					
2. LOCAL CONTRACTOR	1. UNIVERSITY	1.				
3. THIRD COUNTRY CONTRACTOR	2. NON-PROFIT INSTITUTION	2.				
4. PARTICIPATING AGENCY	3. ARCHITECTURAL & ENGINEERING	3.				
5. VOLUNTARY AGENCY	4. CONSTRUCTION					
6. OTHER:	5. OTHER COMMERCIAL					
	6. INDIVIDUAL					
	7. OTHER:					

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activities	% PARs	Codes	Activities	% PARs
1	Agriculture	35.5%	5	Health	10.3%
2	Industry	4.9%	6	Education	13.7%
3.	Transportation	1.8%	7	Public Safety	17.1%
4	Labor	4.0%	8	Social Welfare	5.6%
			9	Private Enterprise, Misc.	0.6%

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT B
Page 2 of 7

AID 1020-25 B (7-68)

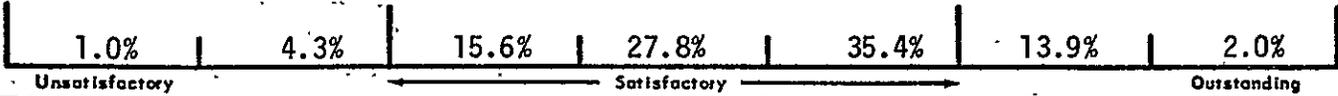
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal		
b.	SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)		
(1)	3	67.9%	15.0%
	2	25.2%	65.1%
	1	4.4%	14.3%
	OR	2.5%	5.6%
(2)	3	44.2%	7.2%
	2	29.3%	52.0%
	1	4.7%	14.0%
	OR	21.8%	26.8%
(3)	3	30.8%	4.4%
	2	19.6%	38.9%
	1	5.0%	7.2%
	OR	44.5%	49.5%
(4)	3	12.5%	1.6%
	2	11.5%	16.8%
	1	7.5%	6.9%
	OR	68.5%	74.8%

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

Total PARs	321
PARs without Rating of Overall Achievement	19
PARs with Rating	<u>302</u>

EXHIBIT B
Page 3 of 7

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

	MARK IN THIS COL.	
	Yes	No
These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	16.5	79.4
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	54.2	42.4
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	15.9	77.9
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	13.7	64.8
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	59.8	34.8
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	19.3	75.7
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	48.0	47.7
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	7.8	84.7
021 <u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

EXHIBIT B
Page 4 of 7

AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	59.8%
(b) Ahead of schedule	4.0%
(c) Behind schedule	30.8%
(1) AID/W Program Approval	3.4%
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	7.2%
(3) Technicians	7.2%
(4) Participants	5.6%
(5) Commodities (non-FFF)	7.5%
(6) Cooperating Country	20.6%
(7) Commodities (FFF)	1.2%
(8) Other (specify):	7.5%

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:	P	N
		32.0	
	032 Quality, comprehensiveness and candor of required reports	61.2	9.9
	033 Promptness of required reports	59.1	9.9
025	Adequacy of technical knowledge	85.5	2.5
026	Understanding of project purposes	81.0	3.3
027	Project planning and management	69.8	12.0
028	Ability to adapt technical knowledge to local situation	81.4	5.0
029	Effective use of participant training element	56.2	5.0
030	Ability to train and utilize local staff	73.1	5.0
031	Adherence to AID administrative and other requirements	50.4	4.5
	034 Adherence to work schedule	66.5	6.2
	035 Working relations with Americans	69.0	2.1
	036 Working relations with cooperating country nationals	86.4	4.5
	037 Adaptation to local working and living environment	78.5	2.5
	038 Home office backstopping and substantive interest	63.6	9.5
	039 Timely recruiting of qualified technicians	48.8	20.7
	040 Other (describe):	7.4	1.7

2. FACTORS-PARTICIPANT TRAINING

		P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:	P	N
		23.0	
	052 Appropriateness of original selection	60.9	3.8
	053 Relevance of training for present project purposes	72.4	1.5
	054 Appropriateness of post-training placement	64.7	5.4
	055 Utility of training regardless of changes in project	54.1	.8
	056 Ability to get meritorious ideas accepted	39.8	9.6
	057 Adequacy of performance	64.8	1.5
	058 Continuance on project	57.1	7.7
	059 Availability of necessary facilities and equipment	37.9	11.9
	060 Mission or contractor follow-up activity	50.6	5.0
	061 Other (describe):		
042	English language ability	54.8	15.7
043	Availability of host country funding	53.6	10.0
044	Host country operational considerations (e.g., procedures)	63.2	8.8
045	Technical/professional qualifications	71.3	8.4
046	Quality of technical orientation	51.3	1.5
047	Quality of general orientation	55.9	2.7
048	Participants' collaboration in planning content of training	41.4	8.4
049	Collaboration by participants' supervisors in planning training	56.7	3.8
050	Participants' availability for training	59.4	18.4
051	Other (describe):	4.2	2.3

EXHIBIT B
Page 5 of 7

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT			P	N
	6.5	36.4		27.7*	072 Control measures against damage and deterioration in shipment.	40.1	3.4
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).			48.3	7.3	073 Control measures against deterioration in storage.	43.1	3.9
066 Quality of commodities, adherence to specifications, marking.			55.2	6.0	074 Readiness and availability of facilities.	42.2	10.3
067 Timeliness in procurement or reconditioning.			44.0	22.8	075 Appropriateness of use of commodities.	59.9	4.3
068 Timeliness of shipment to port of entry.			40.1	15.1	076 Maintenance and spares support.	35.8	18.1
069 Adequacy of port and inland storage facilities.			42.7	3.9	077 Adequacy of property records, accounting and	44.4	13.4
070 Timeliness of shipment from port to site.			44.8	9.5	078 Other (Describe):		
071 Control measures against loss and theft.			46.6	5.2		0.9	6.0

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-251 as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

* Not consistent with responses to blocks 062 and 063.

EXHIBIT B
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:		
080	Coordination and cooperation within and between ministries.	38.6 28.0
081	Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	43.9 7.8
082	Availability of reliable data for project planning, control and evaluation.	33.0 37.4
083	Competence and/or continuity in executive leadership of project.	51.1 26.8
084	Host country project funding.	50.5 26.5
085	Legislative changes relevant to project purposes.	27.7 15.0
086	Existence and adequacy of a project-related LDC organization.	52.3 15.0
087	Resolution of procedural and bureaucratic problems.	30.2 32.4
088	Availability of LDC physical resource inputs and/or supporting services and facilities.	44.9 24.3
089	Maintenance of facilities and equipment.	39.3 20.2
090	Resolution of tribal, class or caste problems.	17.1 5.0
091	Receptivity to change and innovation.	62.6 12.8
092	Political conditions specific to project.	29.6 16.8
093	Capacity to transform ideas into actions, i.e., ability to implement project plans.	52.6 20.2
094	Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	53.6 19.0
095	Extent of LDC efforts to widen the dissemination of project benefits and services.	52.0 4.7
096	Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	61.7 10.6
097	Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	22.1 8.1
098	Other:	2.5 3.7
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099	Level of technical education and/or technical experience.	49.8 23.7
100	Planning and management skills.	41.4 32.1
101	Amount of technician man years available.	43.9 22.1
102	Continuity of staff.	50.2 16.2
103	Willingness to work in rural areas.	38.6 14.0
104	Pay and allowances.	21.8 42.1
105	Other:	1.6 3.7

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT B
Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	32.1
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	14.0
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	4.0
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	5.0
5. Substantively revised. PROP will follow.	7.2
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	9.0
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. __.	4.4
8. Other. Explain in narrative.	22.4

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT C

AID 1020-25 (7-68)		SECURITY CLASSIFICATION		001 PROJECT NUMBER	
PROJECT APPRAISAL REPORT (PAR) (U-446)					
002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY [] [] Thru FY [] []	Summary of 55 PARs (#'s) in East Asia Data File
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE

AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000)	→	Thru Actual Year :	Operational Year Program :
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007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.I, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR 2. LOCAL CONTRACTOR 3. THIRD COUNTRY CONTRACTOR 4. PARTICIPATING AGENCY 5. VOLUNTARY AGENCY 6. OTHER:	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:	1.				
		2.				
		3.				

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

* Activities not calculated

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT C
Page 2 of 7

AID 1020-25 B (7-68)

SECURITY CLASSIFICATION

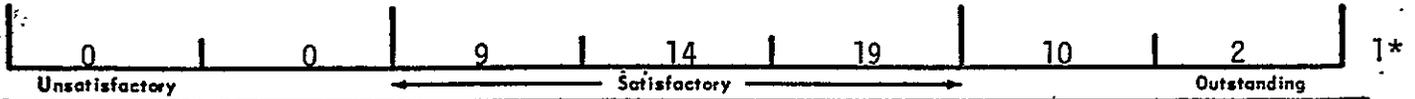
PROJECT NUMBER

PART I-B -- Continued

010

B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

*Other responses

011

C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE	
	b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)			
	(1)	3	42	7
		2	12	45
		1	0	2
		OR	1	1
	(2)	3	32	3
		2	15	42
		1	3	4
		OR	5	6
	(3)	3	22	2
		2	16	32
		1	4	6
		OR	13	15
	(4)	3	11	2
		2	5	9
		1	2	4
		OR	37	40

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 1):

EXHIBIT C

Page 3 of 7

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		MARK IN THIS COL.	
		Yes	No
013	Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	10	43
014	Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	28	25
015	Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	8	43
016	If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	7	33
017	Have any important lessons, positive or negative, emerged which might have broad applicability?	33	18
018	Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	7	44
019	Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	35	17
020	Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)		
021	NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 as necessary):		

EXHIBIT C

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	3	063 NON-FFF	20	064 NO COMMODITY ELEMENT		8*	072 Control measures against damage and deterioration in shipment.	P 19	N 2
					P	N				
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).						25	0	073 Control measures against deterioration in storage.	21	2
066 Quality of commodities, adherence to specifications, marking.						31	4	074 Readiness and availability of facilities.	22	7
067 Timeliness in procurement or reconditioning.						24	12	075 Appropriateness of use of commodities.	32	1
068 Timeliness of shipment to port of entry.						21	4	076 Maintenance and spares support.	17	9
069 Adequacy of port and inland storage facilities.						22	0	077 Adequacy of property records, accounting and controls.	21	12
070 Timeliness of shipment from port to site.						23	5	078 Other (Describe):		
071 Control measures against loss and theft.						23	2		1	5

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 1 as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

EXHIBIT C
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:		P	N
080	Coordination and cooperation within and between ministries.	26	12
081	Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	22	0
082	Availability of reliable data for project planning, control and evaluation.	15	23
083	Competence and/or continuity in executive leadership of project.	32	10
084	Host country project funding.	14	7
085	Legislative changes relevant to project purposes.	14	7
086	Existence and adequacy of a project-related LDC organization.	27	11
087	Resolution of procedural and bureaucratic problems.	16	14
088	Availability of LDC physical resource inputs and/or supporting services and facilities.	14	20
089	Maintenance of facilities and equipment.	16	17
090	Resolution of tribal, class or caste problems.	4	2
091	Receptivity to change and innovation.	37	4
092	Political conditions specific to project.	12	9
093	Capacity to transform ideas into actions, i.e., ability to implement project plans.	29	12
094	Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	29	15
095	Extent of LDC efforts to widen the dissemination of project benefits and services.	26	2
096	Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	39	1
097	Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	10	6
098	Other:	0	0
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		P	N
099	Level of technical education and/or technical experience.	27	16
100	Planning and management skills.	21	24
101	Amount of technician man years available.	24	16
102	Continuity of staff.	33	3
103	Willingness to work in rural areas.	26	7
104	Pay and allowances.	8	33
105	Other:	0	1

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT C
Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):	
1. Continued as presently scheduled in PIP.	23
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	6
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	0
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	4
5. Substantively revised. PROP will follow.	4
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	3
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	2
8. Other. Explain in narrative.	16

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT D

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR)		
(U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY [] Thru FY []	Summary of 55 PARs (%'s) in East Asia Data File
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000) →	Thru Actual Year :	Operational Year Program :
--	---------------------------	-----------------------------------

007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/ PASA/ VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY					
2. LOCAL CONTRACTOR	1. UNIVERSITY					
3. THIRD COUNTRY CONTRACTOR	2. NON-PROFIT INSTITUTION	1.				
4. PARTICIPATING AGENCY	3. ARCHITECTURAL & ENGINEERING	2.				
5. VOLUNTARY AGENCY	4. CONSTRUCTION	3.				
6. OTHER:	5. OTHER COMMERCIAL					
	6. INDIVIDUAL					
	7. OTHER:					

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the' continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

* Activities not calculated

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT D
Page 2 of 7

AID 1020-25 B (7-68)

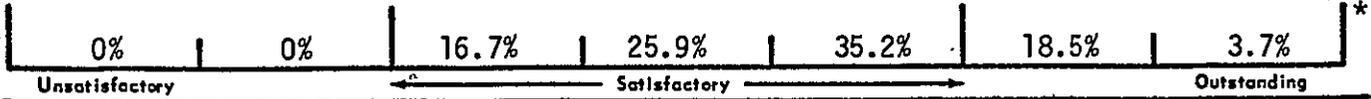
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE *Total with rating - 54

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance		c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal			
b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)				
	(1)	3	76.4%	12.7%
		2	21.8%	81.8%
		1	0.0%	3.6%
		OR	1.8%	1.8%
	(2)	3	58.2%	5.5%
		2	27.8%	76.4%
		1	5.5%	7.3%
		OR	0.0%	10.9%
	(3)	3	40.0%	3.6%
		2	29.1%	58.2%
		1	7.8%	10.9%
		OR	23.6%	27.3%
	(4)	3	20.0%	3.6%
		2	9.1%	16.4%
		1	3.6%	7.3%
		OR	67.3%	72.7%

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

EXHIBIT D

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.	MARK IN THIS COL.	
	Yes	No
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	18.2	78.2
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	50.9	45.5
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	14.5	78.2
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	12.7	60.0
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	60.0	32.7
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	12.7	80.0
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	63.6	30.9
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)		
021 <u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

EXHIBIT D

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AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	76.4%
(b) Ahead of schedule	9.1%
(c) Behind schedule	10.9%
(1) AID/W Program Approval	0.0%
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	0.0%
(3) Technicians	1.8%
(4) Participants	1.8%
(5) Commodities (non-FFF)	0.0%
(6) Cooperating Country	7.3%
(7) Commodities (FFF)	0.0%
(8) Other (specify):	5.5%

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)		P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK: * P	40.0	0.0
025	Adequacy of technical knowledge	81.8	6.1
026	Understanding of project purposes	78.8	3.0
027	Project planning and management	72.7	3.0
028	Ability to adapt technical knowledge to local	87.9	0.0
029	Effective use of participant training element	60.6	0.0
030	Ability to train and utilize local staff	69.7	6.1
031	Adherence to AID administrative and other requirements	57.6	3.0
032	Quality, comprehensiveness and candor of required reports	66.7	0.0
033	Promptness of required reports	48.5	9.1
034	Adherence to work schedule	51.5	9.1
035	Working relations with Americans	66.7	0.0
036	Working relations with cooperating country nationals	87.9	0.0
037	Adaptation to local working and living environment	78.8	3.0
038	Home office backstopping and substantive interest	54.5	3.0
039	Timely recruiting of qualified technicians	54.5	12.1
040	Other (describe):	6.1	3.0
2. FACTORS-PARTICIPANT TRAINING		P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK: ** P	16.4	0.0
042	English language ability	58.7	23.9
043	Availability of host country funding	54.3	15.2
044	Host country operational considerations (e.g., selection procedures)	69.6	4.3
045	Technical/professional qualifications	65.2	23.9
046	Quality of technical orientation	56.5	0.0
047	Quality of general orientation	58.7	2.2
048	Participants' collaboration in planning content of training	45.7	8.7
049	Collaboration by participants' supervisors in planning training	69.6	6.5
050	Participants' availability for training	56.5	26.1
051	Other (describe):	2.2	4.3
052	Appropriateness of original selection	60.9	0.0
053	Relevance of training for present project purposes	84.8	0.0
054	Appropriateness of post-training placement	73.9	6.5
055	Utility of training regardless of changes in project	58.7	2.2
056	Ability to get meritorious ideas accepted by	45.7	6.5
057	Adequacy of performance	71.7	0.0
058	Continuance on project	76.1	2.2
059	Availability of necessary facilities and equipment	54.3	6.5
060	Mission or contractor follow-up activity	60.9	2.2
061	Other (describe):		

* 22 PARs indicated no implementing agency. Items 25-40 are %'s of the 33 other PARs
 ** 9 PARs indicated no participant training. Items 42-60 are %'s of the other 46 PARs.

EXHIBIT D
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

	P	N
SPECIFIC OPERATIONAL FACTORS:		
080 Coordination and cooperation within and between ministries.	47.3	21.8
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	40.0	0.0
082 Availability of reliable data for project planning, control and evaluation.	27.2	41.8
083 Competence and/or continuity in executive leadership of project.	58.2	18.2
084 Host country project funding.	25.5	12.7
085 Legislative changes relevant to project purposes.	25.5	12.7
086 Existence and adequacy of a project-related LDC organization.	49.1	20.0
087 Resolution of procedural and bureaucratic problems.	29.1	25.5
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	25.5	36.4
089 Maintenance of facilities and equipment.	29.1	30.9
090 Resolution of tribal, class or caste problems.	7.3	3.6
091 Receptivity to change and innovation.	67.3	7.3
092 Political conditions specific to project.	21.8	16.4
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	52.8	21.8
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	52.8	27.2
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	47.3	3.6
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	70.9	1.8
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	18.2	10.9
098 Other:	0.0	0.0
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	49.1	29.1
100 Planning and management skills.	38.2	43.6
101 Amount of technician man years available.	43.6	29.1
102 Continuity of staff.	60.0	5.5
103 Willingness to work in rural areas.	47.3	12.7
104 Pay and allowances.	14.5	60.0
105 Other:	0.0	1.8

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT D

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AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	41.8
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	10.9
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	0.0
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	7.3
5. Substantively revised. PROP will follow.	7.3
6. Evoluted in depth to determine its effectiveness, future scope, and duration.	5.5
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	3.6
8. Other. Explain in narrative.	29.1

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT E

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR)		
(U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 103 PAR's from NESA (#'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE												
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS		
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)												
PROPOSED OPERATIONAL YEAR (FY 19)												
CCC VALUE OF P.L. 480 COMMODITIES (\$000)			Thru Actual Year :				Operational Year Program :					

007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY	1.				
2. LOCAL CONTRACTOR	1. UNIVERSITY	2.				
3. THIRD COUNTRY CONTRACTOR	2. NON-PROFIT INSTITUTION	3.				
4. PARTICIPATING AGENCY	3. ARCHITECTURAL & ENGINEERING					
5. VOLUNTARY AGENCY	4. CONSTRUCTION					
6. OTHER:	5. OTHER COMMERCIAL					
	6. INDIVIDUAL					
	7. OTHER:					

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activity	# PARs	Codes	Activity	# PARs
1	Agriculture	40	6	Education	10
2	Industry	7	7	Public Safety	15
3	Transportation	1	8	Social Welfare	1
4	Labor	5	9	Private Enterprise, Misc.	7
5	Health	17	10	Other	0

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT E

AID 1020-25 B (7-68)

SECURITY CLASSIFICATION

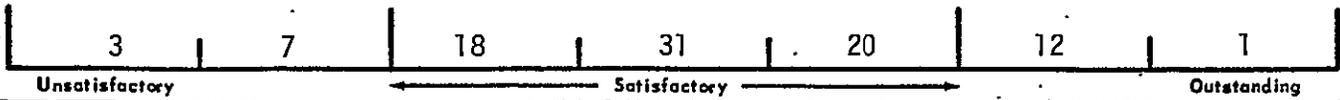
PROJECT NUMBER

PART I-B - Continued

010

B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011

C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance		c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal			
	b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)			
	(1)	3	73	14
		2	19	59
		1	7	19
		OR	4	11
	(2)	3	43	6
		2	28	44
		1	6	17
		OR	26	36
	(3)	3	39	5
		2	14	36
		1	7	9
		OR	43	53
	(4)	3	13	1
		2	18	27
		1	20	11
		OR	52	64

OR = other response or blank

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

EXHIBIT E

Page 3 of 7

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		MARK IN THIS COL.	
		P	N
013	Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	16	78
014	Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	51	44
015	Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	14	81
016	If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	16	62
017	Have any important lessons, positive or negative, emerged which might have broad applicability?	51	31
018	Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	17	77
019	Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	47	47
020	Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	12	76
021	NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

SECURITY CLASSIFICATION

Page 4

EXHIBIT E

AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023 II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.	(a) On schedule	54
	(b) Ahead of schedule	2
	(c) Behind schedule	37
	(1) AID/W Program Approval	5
	(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	6
	(3) Technicians	8
	(4) Participants	4
	(5) Commodities (non-FFF)	7
	(6) Cooperating Country	22
(7) Commodities (FFF)	4	
(8) Other (specify):	7	

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N			P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:			032	Quality, comprehensiveness and candor of required	35	7
			26	033	Promptness of required reports	34	7
025	Adequacy of technical knowledge	57	2	034	Adherence to work schedule	48	4
026	Understanding of project purposes	56	3	035	Working relations with Americans	44	1
027	Project planning and management	47	11	036	Working relations with cooperating country nationals	64	4
028	Ability to adapt technical knowledge to local situation	58	3	037	Adaptation to local working and living environment	56	0
029	Effective use of participant training element	36	2	038	Home office backstopping and substantive interest	38	9
030	Ability to train and utilize local staff	57	2	039	Timely recruiting of qualified technicians	31	15
031	Adherence to AID administrative and other requirements	27	2	040	Other (describe):	5	2

2. FACTORS-PARTICIPANT TRAINING

		P	N	TRAINING UTILIZATION AND FOLLOW UP		P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:			052	Appropriateness of original selection	48	2
			20	053	Relevance of training for present project purposes	52	0
PREDEPARTURE				054	Appropriateness of post-training placement	45	5
042	English language ability	45	11	055	Utility of training regardless of changes in project	38	0
043	Availability of host country funding	32	6	056	Ability to get meritorious ideas accepted by supervisors	28	8
044	Host country operational considerations (e.g., selection procedures)	48	10	057	Adequacy of performance	47	1
045	Technical/professional qualifications	55	5	058	Continuance on project	48	3
046	Quality of technical orientation	34	1	059	Availability of necessary facilities and equipment	24	11
047	Quality of general orientation	40	1	060	Mission or contractor follow-up activity	32	4
048	Participants' collaboration in planning content of program	29	5	061	Other (describe):		
049	Collaboration by participants' supervisors in planning training	44	2				
050	Participants' availability for training	48	13				
051	Other (describe):	3	0				

EXHIBIT E

Page 5 of 7

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	3	063 NON-FFF	46	064 NO COMMODITY ELEMENT	33 *			P	N
							072 Control measures against damage and deterioration in shipment.		20	3
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					P	N				
					31	5	073 Control measures against deterioration in storage.		25	2
066 Quality of commodities, adherence to specifications, marking.					33	2	074 Readiness and availability of facilities.		26	8
067 Timeliness in procurement or reconditioning.					28	16	075 Appropriateness of use of commodities.		34	4
068 Timeliness of shipment to port of entry.					23	11	076 Maintenance and spares support.		22	15
069 Adequacy of port and inland storage facilities.					20	4	077 Adequacy of property records, accounting and controls.		30	5
070 Timeliness of shipment from port to site.					25	6	078 Other (Describe):			
071 Control measures against loss and theft.					26	4			0	3

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

EXHIBIT E
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

	P	N
SPECIFIC OPERATIONAL FACTORS:		
080 Coordination and cooperation within and between ministries.	29	37
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	38	11
082 Availability of reliable data for project planning, control and evaluation.	26	37
083 Competence and/or continuity in executive leadership of project.	51	25
084 Host country project funding.	51	26
085 Legislative changes relevant to project purposes.	22	17
086 Existence and adequacy of a project-related LDC organization.	47	11
087 Resolution of procedural and bureaucratic problems.	20	44
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	48	20
089 Maintenance of facilities and equipment.	32	23
090 Resolution of tribal, class or caste problems.	13	5
091 Receptivity to change and innovation.	65	13
092 Political conditions specific to project.	27	14
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	51	21
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	49	14
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	49	4
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	58	11
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	18	7
098 Other:	2	9
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	51	20
100 Planning and management skills.	35	39
101 Amount of technician man years available.	46	15
102 Continuity of staff.	50	13
103 Willingness to work in rural areas.	31	13
104 Pay and allowances.	20	42
105 Other:	3	4

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

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Page 7 of 7

AID 1020-25 H (7-66)
SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):	
1. Continued as presently scheduled in PIP.	28
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	16
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	6
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	7
5. Substantively revised. PROP will follow.	9
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	9
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	6
8. Other. Explain in narrative.	29

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT F

AID 1020-25 (7-68) PROJECT APPRAISAL REPORT (PAR) (U-446)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
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002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 103 PAR's From NESA, (%'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE											
AID DOLLAR FINANCING OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000)	Thru Actual Year :	Operational Year Program :
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007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/ PASA/ VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:	1.				
2. LOCAL CONTRACTOR		2.				
3. THIRD COUNTRY CONTRACTOR		3.				
4. PARTICIPATING AGENCY						
5. VOLUNTARY AGENCY						
6. OTHER:						

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activities	% PARs	Codes	Activities	% PARs
1	Agriculture	38.8	6	Education	9.7
2	Industry	6.8	7	Public Safety	14.6
3	Transportation	1.0	8	Social Welfare	1.0
4	Labor	4.9	9	Private Enterprise, Misc.	6.8
5	Health	16.5	10	Other	0.0

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT F
Page 2 of 7

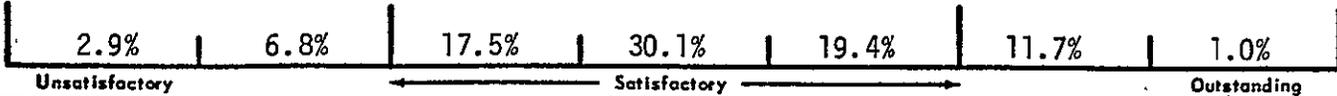
AID 1020-25 B (7-68)

SECURITY CLASSIFICATION	PROJECT NUMBER
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PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE	
b.	SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)			
(1)	OR = other response or blank	3	70.9%	13.6%
		2	18.4%	57.3%
		1	6.8%	18.4%
		OR	3.9%	10.7%
(2)		3	41.7%	5.8%
		2	27.2%	42.7%
		1	5.8%	16.5%
		OR	25.2%	35.0%
(3)		3	37.9%	4.9%
		2	13.6%	35.0%
		1	6.8%	8.7%
		OR	41.7%	51.5%
(4)		3	12.6%	1.0%
		2	17.5%	26.2%
		1	19.4%	10.7%
		OR	50.5%	62.1%

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 1):

EXHIBIT F
Page 3 of 7

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.	MARK IN THIS COL.	
	P	N
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	15.5	75.7
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	49.5	42.7
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	13.6	78.6
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	15.5	60.2
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	59.2	30.1
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	16.5	74.8
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	45.6	45.6
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	11.7	73.8
021 <u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

EXHIBIT F
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AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023 II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	52.4%
(b) Ahead of schedule	1.9%
(c) Behind schedule	35.9%
(1) AID/W Program Approval	4.9%
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	5.8%
(3) Technicians	7.8%
(4) Participants	3.9%
(5) Commodities (non-FFF)	6.8%
(6) Cooperating Country	21.4%
(7) Commodities (FFF)	3.9%
(8) Other (specify):	6.8%

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N			P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:			032	Quality, comprehensiveness and candor of required	45.5	9.1
			25.2	033	Promptness of required reports	44.0	9.1
025	Adequacy of technical knowledge	74.0	2.6	034	Adherence to work schedule	62.3	5.2
026	Understanding of project purposes	72.7	3.9	035	Working relations with Americans	57.1	1.3
027	Project planning and management	61.0	14.3	036	Working relations with cooperating country nationals	83.1	5.2
028	Ability to adapt technical knowledge to local situation	75.3	3.9	037	Adaptation to local working and living environment	72.7	0.0
029	Effective use of participant training element	46.8	2.6	038	Home office backstopping and substantive interest	49.4	11.7
030	Ability to train and utilize local staff	74.0	2.6	039	Timely recruiting of qualified technicians	40.3	2.6
031	Adherence to AID administrative and other requirements	35.1	2.6	040	Other (describe):	6.5	2.6

2. FACTORS-PARTICIPANT TRAINING

		P	N	TRAINING UTILIZATION AND FOLLOW UP		P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:			052	Appropriateness of original selection	57.8	2.4
			19.4	053	Relevance of training for present project purposes	62.7	0.0
042	English language ability	54.2	13.3	054	Appropriateness of post-training placement	54.2	6.0
043	Availability of host country funding	38.6	7.2	055	Utility of training regardless of changes in project	47.8	0.0
044	Host country operational considerations (e.g., selection procedures)	57.8	12.0	056	Ability to get meritorious ideas accepted	33.7	9.6
045	Technical/professional qualifications	66.3	6.0	057	Adequacy of performance	56.6	1.2
046	Quality of technical orientation	41.0	1.2	058	Continuance on project	57.8	3.6
047	Quality of general orientation	48.2	1.2	059	Availability of necessary facilities and equipment	28.9	13.3
048	Participants' collaboration in planning content of	34.9	6.0	060	Mission or contractor follow-up activity	38.6	4.8
049	Collaboration by participants' supervisors in planning training	53.0	2.4	061	Other (describe):		
050	Participants' availability for training	57.8	15.2				
051	Other (describe):	3.6	0.0				

EXHIBIT F
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AID 1020-25 F (7-68)

SECURITY CLASSIFICATION	PROJECT NUMBER
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PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT			P	N
	2.9	44.7	32.0	072	Control measures against damage and deterioration in shipment.	28.6	4.3
065					Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).	44.3	7.1
066				073	Control measures against deterioration in storage.	35.7	2.9
066				074	Readiness and availability of facilities.	37.1	11.4
067				075	Appropriateness of use of commodities.	48.6	5.7
068				076	Maintenance and spares support.	31.4	21.4
069				077	Adequacy of property records, accounting and controls.	42.9	7.1
070				078	Other (Describe):	0.0	4.3
071					Control measures against loss and theft.	37.1	5.7

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

* Not consistent with responses to blocks 062 and 063.

EXHIBIT F
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:	P.	N
080 Coordination and cooperation within and between ministries.	28.2	35.9
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	36.9	10.7
082 Availability of reliable data for project planning, control and evaluation.	25.2	35.9
083 Competence and/or continuity in executive leadership of project.	49.5	24.3
084 Host country project funding.	49.5	25.2
085 Legislative changes relevant to project purposes.	21.4	16.5
086 Existence and adequacy of a project-related LDC organization.	45.6	10.7
087 Resolution of procedural and bureaucratic problems.	19.4	42.7
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	46.6	19.4
089 Maintenance of facilities and equipment.	31.1	22.3
090 Resolution of tribal, class or caste problems.	12.6	4.9
091 Receptivity to change and innovation.	63.1	12.6
092 Political conditions specific to project.	26.2	13.6
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	49.5	20.4
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	47.6	13.6
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	47.6	3.9
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	56.3	10.7
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	17.5	6.8
098 Other:	1.9	8.7
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	49.5	19.4
100 Planning and management skills.	34.0	37.9
101 Amount of technician man years available.	44.7	14.6
102 Continuity of staff.	48.5	12.6
103 Willingness to work in rural areas.	30.1	12.6
104 Pay and allowances.	19.4	40.8
105 Other:	2.9	3.9

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT F
Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	27.2
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	15.5
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	5.8
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	6.8
5. Substantively revised. PROP will follow.	8.7
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	8.7
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	5.8
8. Other. Explain in narrative.	28.2

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT G

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR) (U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY [] [] Thru FY [] []	Summary of 73 PARs from Latin America (#'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE Latin America					

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000) → Thru Actual Year : Operational Year Program :

007 IMPLEMENTING AGENCY TABLE						
If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.						
TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
1. U.S. CONTRACTOR 2. LOCAL CONTRACTOR 3. THIRD COUNTRY CONTRACTOR 4. PARTICIPATING AGENCY 5. VOLUNTARY AGENCY 6. OTHER:	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:		b.	c.		
		1.				
		2.				
		3.				

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activities	# PARs	Codes	Activities	# PARs
1	Agriculture	21	5	Health	4
2	Industry	6	6	Education	9
3	Transport	1	7	Public Safety, Public Admin	20
4	Labor	3	8	Social Welfare	7
			9	Private Enterprise, Misc.	2

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT G

AID 1020-25 B (7-68)

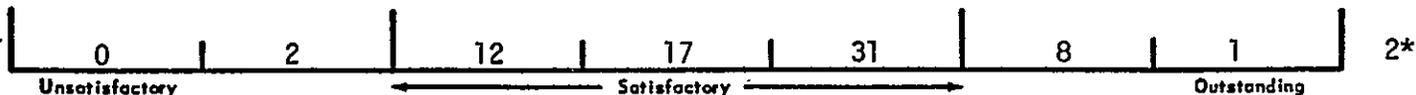
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

*Other responses

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
b.	SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)		
(1)	OR = other response or blank	3 2 1 OR	50 20 3 0
(2)		3 2 1 OR	15 44 12 2
(3)		3 2 1 OR	8 38 9 18
(4)		3 2 1 OR	7 21 4 41
		3 2 1 OR	60 4 9 0

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 1):

EXHIBIT G

Page 3 of 7

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.	MARK IN THIS COL.	
	Yes	No
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	10	61
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	46	26
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	11	58
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	10	47
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	48	23
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	16	56
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	29	42
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	3	67
021 <u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 1 as necessary):		

EXHIBIT G
Page 4 of 7

AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	44
(b) Ahead of schedule	1
(c) Behind schedule	24
(1) AID/W Program Approval	2
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	8
(3) Technicians	6
(4) Participants	3
(5) Commodities (non-FFF)	5
(6) Cooperating Country	20
(7) Commodities (FFF)	0
(8) Other (specify):	5

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N		
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:			032 Quality, comprehensiveness and candor of required	44 4
			9	033 Promptness of required reports	47 1
025	Adequacy of technical knowledge	57	2	034 Adherence to work schedule	47 3
026	Understanding of project purposes	56	2	035 Working relations with Americans	45 3
027	Project planning and management	48	9	036 Working relations with cooperating country nationals	56 4
028	Ability to adapt technical knowledge to local situation	50	6	037 Adaptation to local working and living environment	51 2
029	Effective use of participant training element	40	4	038 Home office backstopping and substantive interest	51 4
030	Ability to train and utilize local staff	50	3	039 Timely recruiting of qualified technicians	35 11
031	Adherence to AID administrative and other requirements	36	1	040 Other (describe):	8 0

2. FACTORS-PARTICIPANT TRAINING

		P	N		
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:			TRAINING UTILIZATION AND FOLLOW UP	
			14	052 Appropriateness of original selection	36 4
	PREDEPARTURE		N	053 Relevance of training for present project purposes	46 0
042	English language ability	16	14	054 Appropriateness of post-training placement	40 2
043	Availability of host country funding	33	8	055 Utility of training regardless of changes in project	39 1
044	Host country operational considerations (e.g., selection procedures)	34	5	056 Ability to get meritorious ideas accepted by supervisors	24 10
045	Technical/professional qualifications	46	1	057 Adequacy of performance	42 1
046	Quality of technical orientation	29	3	058 Continuance on project	36 4
047	Quality of general orientation	30	3	059 Availability of necessary facilities and equipment	19 12
048	Participants' collaboration in planning content of program	23	7	060 Mission or contractor follow-up activity	36 1
049	Collaboration by participants' supervisors in planning training	26	5	061 Other (describe):	
050	Participants' availability for training	37	5		
051	Other (describe):	1	3		

EXHIBIT G

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AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	3	063 NON-FFF	23	064 NO COMMODITY ELEMENT	26*			P	N
							072 Control measures against damage and deterioration in shipment.		18	1
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					P	N	073 Control measures against deterioration in storage.		19	1
					18	4				
066 Quality of commodities, adherence to specifications, marking.					25	2	074 Readiness and availability of facilities.		21	1
067 Timeliness in procurement or reconditioning.					14	11	075 Appropriateness of use of commodities.		29	0
068 Timeliness of shipment to port of entry.					14	11	076 Maintenance and spares support.		16	4
069 Adequacy of port and inland storage facilities. **							077 Adequacy of property records, accounting and controls.	21		2
070 Timeliness of shipment from port to site.					20	3	078 Other (Describe):			
071 Control measures against loss and theft.					21	1			2	0

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

**Not calculated

EXHIBIT G
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION	PROJECT NUMBER
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PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

	P	N
SPECIFIC OPERATIONAL FACTORS:		
080 Coordination and cooperation within and between ministries.	23	19
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	36	11
082 Availability of reliable data for project planning, control and evaluation.	23	29
083 Competence and/or continuity in executive leadership of project.	36	23
084 Host country project funding.	29	21
085 Legislative changes relevant to project purposes.	19	16
086 Existence and adequacy of a project-related LDC organization.	40	14
087 Resolution of procedural and bureaucratic problems.	23	23
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	34	19
089 Maintenance of facilities and equipment.	32	6
090 Resolution of tribal, class or caste problems.	6	2
091 Receptivity to change and innovation.	38	15
092 Political conditions specific to project.	17	22
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	36	17
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	36	16
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	39	2
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	45	10
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	20	7
098 Other:	2	3
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	41	13
100 Planning and management skills.	33	21
101 Amount of technician man years available.	31	16
102 Continuity of staff.	35	17
103 Willingness to work in rural areas.	27	12
104 Pay and allowances.	13	34
105 Other:	1	2

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 1):

EXHIBIT G
Page 7 of 7

AID 1020-25 H (7-6B)
SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS
IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change. For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):	
1. Continued as presently scheduled in PIP.	23
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	11
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	3
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___, Yr. ____ . Explain in narrative, PROP will follow.	2
5. Substantively revised. PROP will follow.	5
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	10
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___, Yr. ____	2
8. Other. Explain in narrative.	12

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT H

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR) (U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 73 PARs From Latin America (%'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					
Latin America					

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CON-TRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CON-TRACT	DIR. PASA	CON-TRACT	DIR. PASA	CON-TRACT	DIR. PASA	CON-TRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000) →	Thru Actual Year : <input type="text"/>	Operational Year Program : <input type="text"/>
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007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/ PASA/ VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR 2. LOCAL CONTRACTOR 3. THIRD COUNTRY CONTRACTOR 4. PARTICIPATING AGENCY 5. VOLUNTARY AGENCY 6. OTHER:	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:	1. 2. 3.				

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

<u>Codes</u>	<u>Activity</u>	<u>% PARs</u>	<u>Codes</u>	<u>Activity</u>	<u>% PARs</u>
1	Agriculture	28.8%	6	Education	12.3%
2	Industry	8.2%	7	Public Safety, Public Admin.	27.4%
3	Transport	1.4%	8	Social Welfare	9.6%
4	Labor	4.1%	9	Private Enterprise, Misc.	2.7%
5	Health	5.5%			

MISSION DIRECTOR APPROVAL →	SIGNATURE <input style="width:90%;" type="text"/>	DATE <input style="width:90%;" type="text"/>
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EXHIBIT H
Page 2 of 7

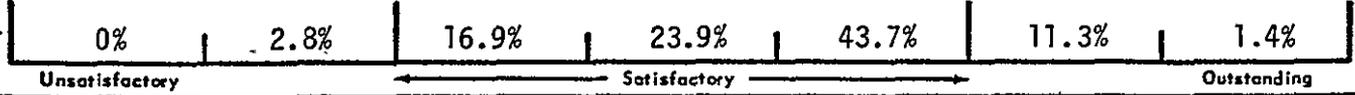
AID 1020-25 B (7-68)

SECURITY CLASSIFICATION	PROJECT NUMBER
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PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance		c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal			
b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)				
	(1)	3	68.5%	20.5%
		2	27.4%	60.3%
		1	4.1%	16.4%
		OR	0.0%	2.7%
	(2)	3	53.4%	11.0%
		2	27.4%	52.1%
		1	4.1%	12.3%
		OR	21.9%	24.7%
	(3)	3	28.8%	9.6%
		2	17.8%	28.8%
		1	1.4%	5.5%
		OR	52.1%	56.2%
	(4)	3	78.1%	82.2%
		2	1.4%	5.5%
		1	6.8%	12.3%
		OR	13.7%	0.0%

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

EXHIBIT H
Page 3 of 7

AID 1020-25 C (7-68)
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued.

C:2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		MARK IN THIS COL.	
		Yes	No
013	Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	13.7	83.6
014	Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	63.0	35.6
015	Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	15.1	79.5
016	If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	13.7	64.4
017	Have any important lessons, positive or negative, emerged which might have broad applicability?	65.8	31.5
018	Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	21.9	76.7
019	Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	39.7	57.5
020	Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	4.1	91.8
021	NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

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AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	60.3%
(b) Ahead of schedule	1.4%
(c) Behind schedule	32.9%
(1) AID/W Program Approval	2.7%
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	11.0%
(3) Technicians	8.2%
(4) Participants	4.1%
(5) Commodities (non-FFF)	6.8%
(6) Cooperating Country	27.4%
(7) Commodities (FFF)	0.0%
(8) Other (specify):	6.8%

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N			P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:			032	Quality, comprehensiveness and candor of required reports	68.8	6.3
				033	Promptness of required reports	73.4	1.6
025	Adequacy of technical knowledge	89.1	3.1	034	Adherence to work schedule	73.4	4.7
026	Understanding of project purposes	87.5	3.1	035	Working relations with Americans	70.3	4.7
027	Project planning and management	75.0	4.1	036	Working relations with cooperating country nationals	87.5	6.3
028	Ability to adapt technical knowledge to local situation	78.1	9.4	037	Adaptation to local working and living environment	79.7	3.1
029	Effective use of participant training element	62.5	6.3	038	Home office backstopping and substantive interest	79.7	6.3
030	Ability to train and utilize local staff	78.1	4.7	039	Timely recruiting of qualified technicians	54.7	17.2
031	Adherence to AID administrative and other requirements	56.3	1.6	040	Other (describe):	12.5	0.0

2. FACTORS-PARTICIPANT TRAINING

		P	N			P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:			TRAINING UTILIZATION AND FOLLOW UP			
				052	Appropriateness of original selection	61.0	6.8
PREDEPARTURE				053	Relevance of training for present project purposes	78.0	0.0
042	English language ability	27.1	23.7	054	Appropriateness of post-training placement	67.8	3.9
043	Availability of host country funding	55.9	3.6	055	Utility of training regardless of changes in project	66.1	1.7
044	Host country operational considerations (e.g., selection procedures)	57.6	8.5	056	Ability to get meritorious ideas accepted by supervisors	40.7	16.9
045	Technical/professional qualifications	78.0	1.7	057	Adequacy of performance	71.2	1.7
046	Quality of technical orientation	49.2	5.1	058	Continuance on project	61.0	6.8
047	Quality of general orientation	50.8	5.1	059	Availability of necessary facilities and equipment	32.2	20.3
048	Participants' collaboration in planning content of program	39.0	11.9	060	Mission or contractor follow-up activity	61.0	1.7
049	Collaboration by participants' supervisors in planning training	44.1	8.5	061	Other (describe):		
050	Participants' availability for training	62.7	8.5				
051	Other (describe):	1.7	5.1				

EXHIBIT H

Page 5 of 7

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT	072 Control measures against damage and deterioration in shipment.	P	N
	4.1	31.5	35.6*		38.3	2.1
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					38.3	8.5
066 Quality of commodities, adherence to specifications, marking.				073 Control measures against deterioration in storage.	40.4	2.1
				074 Readiness and availability of facilities.	44.7	2.1
067 Timeliness in procurement or reconditioning.				075 Appropriateness of use of commodities.	61.7	0.0
068 Timeliness of shipment to port of entry.				076 Maintenance and spares support.	34.0	8.5
069 Adequacy of port and inland storage facilities. **				077 Adequacy of property records, accounting and controls.	44.7	4.3
070 Timeliness of shipment from port to site.				078 Other (Describe):	4.3	0.0
071 Control measures against loss and theft.						

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

**Not calculated

EXHIBIT H
Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

	P	N
SPECIFIC OPERATIONAL FACTORS:		
080 Coordination and cooperation within and between ministries.	31.5	26.0
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	49.3	15.1
082 Availability of reliable data for project planning, control and evaluation.	31.5	39.7
083 Competence and/or continuity in executive leadership of project.	49.3	31.5
084 Host country project funding.	39.7	28.8
085 Legislative changes relevant to project purposes.	26.0	21.9
086 Existence and adequacy of a project-related LDC organization.	54.8	19.2
087 Resolution of procedural and bureaucratic problems.	31.5	31.5
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	46.6	26.0
089 Maintenance of facilities and equipment.	43.8	8.2
090 Resolution of tribal, class or caste problems.	8.2	2.7
091 Receptivity to change and innovation.	52.1	20.5
092 Political conditions specific to project.	23.3	30.1
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	49.3	23.3
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	49.3	21.9
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	53.4	2.7
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	61.6	13.7
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	27.4	9.6
098 Other:	2.7	4.1
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	56.2	17.8
100 Planning and management skills.	45.2	28.8
101 Amount of technician man years available.	42.5	21.9
102 Continuity of staff.	47.9	23.3
103 Willingness to work in rural areas.	37.0	16.4
104 Pay and allowances.	17.8	46.6
105 Other:	1.4	2.7

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I);

EXHIBIT H

Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):	
1. Continued as presently scheduled in PIP.	31.5
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	15.1
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	4.1
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	2.7
5. Substantively revised. PROP will follow.	6.8
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	13.7
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	2.7
8. Other. Explain in narrative.	16.4

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT I

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR) (U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 90 PARs from Africa (#'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMOOITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMODITIES (\$000) →	Thru Actual Year : <input type="text"/>	Operational Year Program : <input type="text"/>
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007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY 1. UNIVERSITY 2. NON-PROFIT INSTITUTION 3. ARCHITECTURAL & ENGINEERING 4. CONSTRUCTION 5. OTHER COMMERCIAL 6. INDIVIDUAL 7. OTHER:	1.				
2. LOCAL CONTRACTOR		2.				
3. THIRD COUNTRY CONTRACTOR		3.				
4. PARTICIPATING AGENCY						
5. VOLUNTARY AGENCY						
6. OTHER:						

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activity	# PARs	Codes	Activity	# PARs
1	Agriculture	38	6	Education	19
2	Industry	2	7	Public Safety, Public Admin	9
3	Transport	2	8	Social Welfare	0
4	Labor	4	9	Private Enterprise, Misc.	9
5	Health	6	10	Other	1

MISSION DIRECTOR APPROVAL →	SIGNATURE <input style="width:90%;" type="text"/>	DATE <input style="width:90%;" type="text"/>
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EXHIBIT I

AID 1020-25 B (7-68)

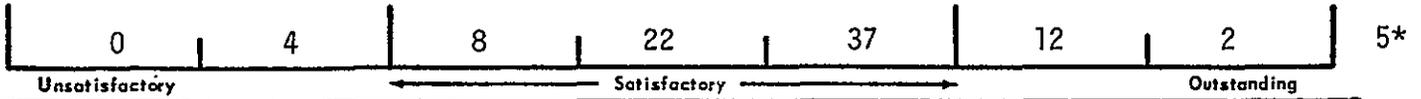
SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-B - Continued

010 B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

* Other response

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance		c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal			
	b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)			
	(1)	3	53	12
		2	30	61
		1	4	13
		OR	3	4
	(2)	3	33	6
		2	31	43
		1	3	15
		OR	23	26
	(3)	3	17	0
		2	20	36
		1	4	4
		OR	49	50
	(4)	3	6	2
		2	9	9
		1	1	3
		OR	74	76

OR = other response or blank

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b.) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

EXHIBIT I
Page 3 of 7

AID 1020-25 C (7-69)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.		MARK IN THIS COL.	
		P	N
013	Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	17	73
014	Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	49	41
015	Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	18	68
016	If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	11	66
017	Have any important lessons, positive or negative, emerged which might have broad applicability?	50	39
018	Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	22	66
019	Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	43	47
020	Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	5	82
021	NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

EXHIBIT I

AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023 II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

(a) On schedule	52
(b) Ahead of schedule	5
(c) Behind schedule	32
(1) AID/W Program Approval	4
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	9
(3) Technicians	8
(4) Participants	10
(5) Commodities (non-FFF)	12
(6) Cooperating Country	20
(7) Commodities (FFF)	0
(8) Other (specify):	9

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

P N

024 IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:		P	N		
				032 Quality, comprehensiveness and candor of required reports	47 13
				033 Promptness of required reports	46 13
025 Adequacy of technical knowledge	66	0		034 Adherence to work schedule	49 5
026 Understanding of project purposes	58	2		035 Working relations with Americans	56 1
027 Project planning and management	50	8		036 Working relations with cooperating country nationals	60 3
028 Ability to adapt technical knowledge to local situation	60	3		037 Adaptation to local working and living environment	57 3
029 Effective use of participant training element	40	6		038 Home office backstopping and substantive interest	47 9
030 Ability to train and utilize local staff	47	5		039 Timely recruiting of qualified technicians	34 20
031 Adherence to AID administrative and other requirements	40	7		040 Other (describe):	3 1

2. FACTORS-PARTICIPANT TRAINING

041 IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:		P	N	TRAINING UTILIZATION AND FOLLOW UP	
				052 Appropriateness of original selection	47 4
PREDEPARTURE				053 Relevance of training for present project purposes	52 4
042 English language ability	55	5		054 Appropriateness of post-training placement	49 4
043 Availability of host country funding	50	5		055 Utility of training regardless of changes in project	45 0
044 Host country operational considerations (e.g., selection procedures)	51	6		056 Ability to get meritorious ideas accepted by supervisors	31 11
045 Technical/professional qualifications	55	5		057 Adequacy of performance	47 2
046 Quality of technical orientation	45	0		058 Continuance on project	30 12
047 Quality of general orientation	49	2		059 Availability of necessary facilities and equipment	31 5
048 Participants' collaboration in planning content of program	35	6		060 Mission or contractor follow-up activity	36 7
049 Collaboration by participants' supervisors in planning training	46	0		061 Other (describe):	
050 Participants' availability for training	44	8			
051 Other (describe):	6	1			

EXHIBIT I

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	4	063 NON-FFF	28	064 NO COMMODITY ELEMENT	22*				
							072 Control measures against damage and deterioration in shipment.	36	2	
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					P	N		38	8	073 Control measures against deterioration in storage. 35 4
066 Quality of commodities, adherence to specifications, marking.								39	6	074 Readiness and availability of facilities. 39 8
067 Timeliness in procurement or reconditioning.								36	14	075 Appropriateness of use of commodities. 44 5
068 Timeliness of shipment to port of entry.								35	9	076 Maintenance and spares support. 28 14
069 Adequacy of port and inland storage facilities.								36	3	077 Adequacy of property records, accounting and controls. 31 12
070 Timeliness of shipment from port to site.								36	8	078 Other (Describe): 1 4
071 Control measures against loss and theft.								38	5	

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

EXHIBIT I

Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

	P	N
SPECIFIC OPERATIONAL FACTORS:		
080 Coordination and cooperation within and between ministries.	46	22
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	45	3
082 Availability of reliable data for project planning, control and evaluation.	42	31
083 Competence and/or continuity in executive leadership of project.	45	28
084 Host country project funding.	57	18
085 Legislative changes relevant to project purposes.	34	8
086 Existence and adequacy of a project-related LDC organization.	54	12
087 Resolution of procedural and bureaucratic problems.	38	23
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	48	19
089 Maintenance of facilities and equipment.	46	19
090 Resolution of tribal, class or caste problems.	32	7
091 Receptivity to change and innovation.	61	9
092 Political conditions specific to project.	39	9
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	53	15
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	58	16
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	53	7
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	56	12
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	23	6
098 Other:	4	0
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:		
099 Level of technical education and/or technical experience.	41	27
100 Planning and management skills.	44	19
101 Amount of technician man years available.	40	24
102 Continuity of staff.	43	19
103 Willingness to work in rural areas.	40	13
104 Pay and allowances.	29	26
105 Other:	1	5

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT I

Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	29
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	12
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	4
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	3
5. Substantively revised. PROP will follow.	5
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	7
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	4
8. Other. Explain in narrative.	15

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

EXHIBIT J

AID 1020-25 (7-68)	SECURITY CLASSIFICATION	001 PROJECT NUMBER
PROJECT APPRAISAL REPORT (PAR) (U-446)		

002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN	004 PROJECT TITLE
AS OF:				FY <input type="text"/> Thru FY <input type="text"/>	Summary of 90 PARs from Africa (%'s)
005 COOPERATING COUNTRY - REGION - AID/W OFFICE					

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CON-TRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CON-TRACT	DIR. PASA	CON-TRACT	DIR. PASA	CON-TRACT	DIR. PASA	CON-TRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 19)											
PROPOSED OPERATIONAL YEAR (FY 19)											

CCC VALUE OF P.L. 480 COMMOITIES (\$000)	→	Thru Actual Year	Operational Year Program
---	---	-------------------------	---------------------------------

007 IMPLEMENTING AGENCY TABLE

If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.

TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/ PASA/ VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY	1.				
2. LOCAL CONTRACTOR	1. UNIVERSITY	2.				
3. THIRD COUNTRY CONTRACTOR	2. NON-PROFIT INSTITUTION	3.				
4. PARTICIPATING AGENCY	3. ARCHITECTURAL & ENGINEERING					
5. VOLUNTARY AGENCY	4. CONSTRUCTION					
6. OTHER:	5. OTHER COMMERCIAL					
	6. INDIVIDUAL					
	7. OTHER:					

PART I - PROJECT IMPACT

I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Codes	Activity	% PARs	Codes	Activity	% PARs
1	Agriculture	42.2%	6	Education	21.1%
2	Industry	2.2%	7	Public Safety, Public Admin	10.0%
3	Transport	2.2%	8	Social Welfare	0.0%
4	Labor	4.4%	9	Private Enterprise, Misc.	10.0%
5	Health	6.7%	10	Other	1.1%

MISSION DIRECTOR APPROVAL →	SIGNATURE	DATE
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EXHIBIT J

AID 1020-25 B (7-68)

SECURITY CLASSIFICATION

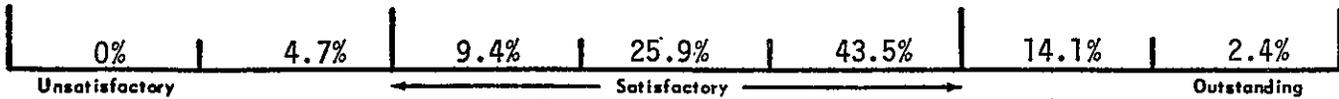
PROJECT NUMBER

PART I-B - Continued

010

B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011 C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance		c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE	
	SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal				
b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)					
	(1)		3	58.9%	13.3%
			2	33.3%	67.8%
			1	4.4%	14.4%
			OR	3.3%	4.4%
	(2)		3	36.7%	6.7%
			2	34.4%	47.8%
			1	3.3%	16.7%
			OR	25.6%	28.9%
	(3)		3	18.9%	0.0%
			2	22.2%	40.0%
			1	4.4%	4.4%
			OR	54.4%	55.6%
	(4)		3	6.7%	2.2%
			2	10.0%	10.0%
			1	1.1%	3.3%
			OR	82.2%	84.4%

OR = other responses or blank

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

EXHIBIT J

AID 1020-25 C (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART I-C - Continued

C.2 - GENERAL QUESTIONS

	MARK IN THIS COL.	
	Yes	No
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	18.9	81.1
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	54.4	45.6
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	20.0	75.6
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	12.2	73.3
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	55.6	43.3
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	24.4	73.3
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	47.8	52.2
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	5.6	91.1
021 <u>NARRATIVE FOR PART I-C.2</u> Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):		

EXHIBIT J
Page 4 of 7

AID 1020-25 E (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

(a) On schedule	57.8
(b) Ahead of schedule	5.6
(c) Behind schedule	35.6
(1) AID/W Program Approval	4.4
(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	10.0
(3) Technicians	8.9
(4) Participants	11.1
(5) Commodities (non-FFF)	13.3
(6) Cooperating Country	22.2
(7) Commodities (FFF)	0.0
(8) Other (specify):	10.0

BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

		P	N
024	IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:	23.3	0.0
025	Adequacy of technical knowledge	95.0	0.0
026	Understanding of project purposes	84.1	2.9
027	Project planning and management	72.5	11.6
028	Ability to adapt technical knowledge to local situation	87.0	4.3
029	Effective use of participant training element	58.0	8.7
030	Ability to train and utilize local staff	68.1	7.2
031	Adherence to AID administrative and other requirements	58.0	10.1
032	Quality, comprehensiveness and candor of required reports	68.7	18.8
033	Promptness of required reports	66.7	18.8
034	Adherence to work schedule	71.0	7.2
035	Working relations with Americans	81.2	1.4
036	Working relations with cooperating country nationals	87.0	4.3
037	Adaptation to local working and living environment	82.6	4.3
038	Home office backstopping and substantive interest	68.1	13.0
039	Timely recruiting of qualified technicians	49.3	29.0
040	Other (describe):	4.3	1.4

2. FACTORS-PARTICIPANT TRAINING

		P	N
041	IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:	18.9	0.0
042	English language ability	75.3	6.8
043	Availability of host country funding	68.5	6.8
044	Host country operational considerations (e.g., selection procedures)	69.9	8.2
045	Technical/professional qualifications	75.3	6.8
046	Quality of technical orientation	61.6	0.0
047	Quality of general orientation	67.1	2.7
048	Participants' collaboration in planning content of training	47.9	8.2
049	Collaboration by participants' supervisors in planning training	63.0	0.0
050	Participants' availability for training	60.3	24.7
051	Other (describe):	8.2	1.4
052	TRAINING UTILIZATION AND FOLLOW UP		
052	Appropriateness of original selection	64.4	5.8
053	Relevance of training for present project purposes	71.2	5.8
054	Appropriateness of post-training placement	67.1	5.8
055	Utility of training regardless of changes in project	61.6	0.0
056	Ability to get meritorious ideas accepted by	42.5	5.8
057	Adequacy of performance	64.4	2.7
058	Continuance on project	41.1	16.4
059	Availability of necessary facilities and equipment	42.5	6.8
060	Mission or contractor follow-up activity	49.3	9.6
061	Other (describe):		

EXHIBIT J

AID 1020-25 F (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT				
	4.4	31.7	24.7*	072	Control measures against damage and deterioration in shipment.	52.9	2.9
065				073	Control measures against deterioration in storage.	51.5	5.9
066				074	Readiness and availability of facilities.	42.6	11.8
067				075	Appropriateness of use of commodities.	64.7	7.4
068				076	Maintenance and spares support.	41.2	20.6
069				077	Adequacy of property records, accounting and controls.	45.6	17.6
070				078	Other (Describe):		
071						1.5	5.9

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

*Not consistent with responses to blocks 062 and 063.

EXHIBIT J

Page 6 of 7

AID 1020-25 G (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:

	P	N
080 Coordination and cooperation within and between ministries.	51.1	24.4
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	50.0	3.3
082 Availability of reliable data for project planning, control and evaluation.	46.7	34.4
083 Competence and/or continuity in executive leadership of project.	50.0	31.1
084 Host country project funding.	63.3	20.0
085 Legislative changes relevant to project purposes.	37.8	8.9
086 Existence and adequacy of a project-related LDC organization.	60.0	13.3
087 Resolution of procedural and bureaucratic problems.	42.2	25.6
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	53.3	21.1
089 Maintenance of facilities and equipment.	51.1	21.1
090 Resolution of tribal, class or caste problems.	35.6	7.7
091 Receptivity to change and innovation.	67.8	10.0
092 Political conditions specific to project.	43.3	10.0
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	58.9	16.7
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	64.4	17.8
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	58.9	7.7
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	62.2	13.3
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	25.6	6.7
098 Other:	4.4	0.0

HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:

099 Level of technical education and/or technical experience.	45.6	7.7
100 Planning and management skills.	48.9	21.6
101 Amount of technician man years available.	44.4	26.7
102 Continuity of staff.	47.8	21.1
103 Willingness to work in rural areas.	44.4	14.4
104 Pay and allowances.	32.2	28.9
105 Other:	1.1	5.6

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

EXHIBIT J
Page 7 of 7

AID 1020-25 H (7-68)

SECURITY CLASSIFICATION

PROJECT NUMBER

PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	32.2
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	13.3
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	4.4
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	3.3
5. Substantively revised. PROP will follow.	5.6
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	7.8
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___	4.4
8. Other. Explain in narrative.	16.7

109 NARRATIVE FOR PART IV-B:

Text in IV-B is not consistent with these checklist responses in some cases.

PAR ANALYSIS - REGIONAL COMPARISONS

EXHIBIT K

RATING OF OVERALL ACHIEVEMENT

Page 1 of 10

<u>I T E M</u>	<u>WORLDWIDE</u>		<u>EAST ASIA</u>		<u>LATIN AMERICA</u>		<u>NESA</u>		<u>AFRICA</u>	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
<u>010 Rating of Overall Achievement</u>										
Unsatisfactory = 1	3		0		0		3		0	
Unsatisfactory + = 2	13		0		2		7		4	
Satisfactory - = 3	47		9		12		18		8	
Satisfactory = 4	84		14		17		31		22	
Satisfactory + = 5	107		19		31		20		37	
Outstanding - = 6	42		10		8		12		12	
Outstanding = 7	6		2		1		1		2	
All PARs with Rating	302		54		71		92		85	
PARs without Rating	19		1		2		11		5	

GOALS

I T E M	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
<u>011 Project Significance</u>										
Goal 1, Potential Impact = 3	288	4.52	42	4.73	50	4.53	73	4.23	53	4.71
Potential Impact = 2	81	4.33	12	4.33	20	4.58	19	3.78	30	4.52
Potential Impact = 1	14	3.20	0	--	3	3.00	7	3.20	4	3.50
Goal 1, Actual Impact = 3	48	5.28	7	5.43	15	5.13	14	5.08	12	5.58
Actual Impact = 2	209	4.46	45	4.48	44	4.41	59	4.29	61	4.65
Actual Impact = 1	46	3.34	2	5.50	12	3.91	19	2.74	13	3.42
Goal 2, Potential Impact = 3	142	4.49	32	4.84	34	4.59	43	3.95	33	4.69
Potential Impact = 2	394	4.33	15	4.20	20	4.61	28	4.16	31	4.36
Potential Impact = 1	15	4.17	3	5.00	3	3.33	6	4.25	3	4.00
Goal 2, Actual Impact = 3	23	5.22	3	5.67	8	5.25	6	4.	6	5.33
Actual Impact = 2	167	4.56	42	4.52	38	4.58	44	4.33	43	4.82
Actual Impact = 1	45	3.44	4	5.00	9	3.62	17	3.00	15	3.43
Goal 3, Potential Impact = 3	99	4.32	22	4.73	21	4.25	39	4.00	17	4.56
Potential Impact = 2	63	4.53	16	4.50	13	5.08	14	4.00	20	4.56
Potential Impact = 1	16	4.31	4	3.75	1	3.00	7	4.80-	4	6.67
Goal 3, Actual Impact = 3	14	4.79	2	6.00	7	4.71	5	4.40	0	--
Actual Impact = 2	125	4.50	32	4.53	21	4.48	36	4.28	36	4.72
Actual Impact = 1	23	3.77	6	4.17	4	4.33	9	3.22	4	4.00
Goal 4, Potential Impact = 3	40	4.60	11	4.91	10	4.75	13	4.45	6	4.00
Potential Impact = 2	37	4.33	5	4.80	5	4.60	18	4.00	9	4.62
Potential Impact = 1	24	4.16	2	3.00	1	5.00	20	4.27	1	4.00
Goal 4, Actual Impact = 3	5	5.60	2	7.00	0	--	1	3.00	2	5.50
Actual Impact = 2	54	4.56	9	4.56	9	5.00	27	4.00	9	4.44
Actual Impact = 1	22	3.52	4	3.50	4	4.33	11	3.36	3	3.33

<u>I T E M</u>	<u>WORLDWIDE</u>		<u>EAST ASIA</u>		<u>LATIN AMERICA</u>		<u>NESA</u>		<u>AFRICA</u>	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
<u>General Questions</u>										
013 Significant unanticipated results?	53	4.58	10	4.50	10	4.90	16	4.50	17	4.53
014 Outside activities had substantial effect?	174	4.33	28	4.18	46	4.55	51	3.98	49	4.59
015 Problems from another donor?	51	4.36	8	4.50	11	4.09	14	4.07	18	4.71
016 Project now less necessary?	44	4.10	7	3.71	10	4.56	16	3.80	11	4.36
017 Important lessons?	192	4.35	33	4.59	48	4.35	61	4.00	50	4.62
018 Need research?	62	4.64	7	4.14	16	4.87	17	4.56	22	4.70
019 Publicity in the United States?	154	4.62	35	4.71	29	4.59	47	4.36	43	4.85
020 Lack of cooperating country media coverage?	25	4.32	*		3	5.33	12	4.00	5	4.20
<u>023 Overall Timeliness</u>										
On Schedule	192	4.81	42	4.61	44	4.93	54	4.62	52	5.08
Ahead of Schedule	13	5.00	5	5.60	1	5.00	2	5.00	5	4.40
Behind Schedule	99	3.60	6	4.00	24	3.67	37	3.28	32	3.80
<u>Causes of Delay</u>										
AID/W Program Approval	11	4.32	0	--	1	4.00	5	4.33	4	4.25
Implementing Agent	23	3.41	0	--	8	3.37	6	2.60	9	3.89
Technicians	23	3.61	1	4.00	6	3.50	8	3.62	8	3.62
Participants	18	3.67	1	4.00	3	3.33	4	3.00	10	4.00
Commodities (non FFF)	24	3.68	0	--	5	4.00	7	2.86	12	4.10
Cooperating Country	66	3.26	4	3.50	20	3.58	22	2.76	20	3.44
Commodities (FFF)	4	3.50	0	--	0	--	4	3.50	0	--
Other	24	3.81	3	4.33	5	4.00	7	3.67	9	3.62

* Not calculated

FACTORS MARKED SIGNIFICANT AND NEGATIVE EFFECT

I T E M	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
024 PARs with Implementing Agent	242	4.42	33	4.67	64	4.47	77	4.04	68	4.66
025 Technical knowledge	6	3.83	2	4.50	2	3.50	2	3.50	0	--
026 Project purposes	8	3.25	1	5.00	2	3.00	3	2.33	2	4.00
027 Project planning and management	29	3.76	1	5.00	9	3.33	11	3.45	8	4.50
028 Adapt technical knowledge to local situation	12	3.18	0	--	6	3.50	3	2.33	3	3.50
029 Effective use of participant training	12	3.36	0	--	4	2.75	2	3.00	6	4.00
030 Train and utilize local staff	12	3.42	2	3.50	3	3.00	2	1.00	5	4.60
031 AID administrative and other requirements	11	4.09	1	5.00	1	4.00	2	3.50	7	4.14
032 Quality of required reports	24	4.04	0	--	4	3.50	7	3.43	13	4.54
033 Promptness of required reports	24	4.25	3	4.00	1	4.00	7	3.14	13	4.92
034 Adherence to work schedule	15	3.80	3	4.00	3	5.00	4	3.25	5	3.40
035 Working relations with Americans	5	4.40	0	--	3	4.67	1	3.00	1	5.00
036 Working relations with host nationals	11	3.64	0	--	4	4.25	4	2.25	3	4.67
037 Adaptation to local environment	6	4.50	1	4.00	2	3.50	0	--	3	5.33
038 Home office backstopping	23	4.05	1	5.00	4	3.00	9	3.89	9	4.62
039 Timely recruiting of qualified technicians	50	4.35	4	4.50	11	4.00	15	4.27	20	4.58
040 Other	4	4.25	1	4.00	0	--	2	3.50	1	6.00

PARTICIPANT TRAINING
FACTORS MARKED SIGNIFICANT AND NEGATIVE EFFECT

I T E M	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
041 PARs with participant training	261	4.42	46	4.62	59	4.43	83	4.13	73	4.59
042 English language ability	41	4.49	11	4.45	14	4.64	11	4.36	5	4.40
043 Availability of host country funding	26	4.29	7	4.67	8	4.12	6	4.40	5	4.00
044 Host country operational considerations	23	3.86	2	4.50	5	3.80	10	3.89	6	3.60
045 Technical/professional qualifications	22	4.15	11	4.45	1	3.00	5	3.40	5	4.67
046 Technical orientation	4	3.50	0	--	3	3.67	1	3.00	0	--
047 General orientation	7	4.71	1	4.00	3	4.33	1	5.00	2	5.00
048 Participants' collaboration in planning	22	4.52	4	4.50	7	4.71	5	3.50	6	5.00
049 Collaboration by supervisors in planning	10	4.89	3	4.67	5	5.20	2	4.00	0	--
050 Participants' availability for training	48	4.20	12	4.50	5	4.20	13	3.85	18	4.25
051 Other	6	4.67	2	5.50	3	4.33	0	--	1	4.00
052 Appropriateness of original selection	10	3.80	0	--	4	3.50	2	3.50	4	4.25
053 Relevance of training for present project purpose	4	3.75	0	--	0	--	0	--	4	3.75
054 Appropriateness of post-training placement	14	4.21	3	4.00	2	4.50	5	4.00	4	4.50
055 Utility of training	2	4.00	1	3.00	1	5.00	0	--	0	--
056 Meritorious ideas accepted by supervisors	25	4.04	3	3.67	10	4.10	8	3.86	4	3.75
057 Adequacy of performance	4	5.00	0	--	1	6.00	1	6.00	2	4.00
058 Continuance on project	20	4.55	1	4.00	4	4.50	3	5.00	12	4.50
059 Availability of necessary facilities and equipment	31	3.93	3	4.33	12	4.08	11	3.70	5	3.80
060 Mission or contractor follow-up activity	13	4.23	1	5.00	1	3.00	4	4.25	7	4.29

COMMODITIES
FACTORS MARKED SIGNIFICANT AND NEGATIVE EFFECT

I T E M	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
062 FFF Commodities	11	4.18	3	5.00	1	3.00	3	4.33	4	3.75
063 Non-FFF commodities	117	4.29	20	4.50	23	4.59	46	3.86	28	4.60
064 Total PARs with commodities (62+63 do not total to 64)	232	*	47	4.72	47	*	70	4.05	50	4.59
065 Timeliness of AID/W program approval	17	4.33	0	--	4	4.50	5	3.60	8	4.83
066 Quality of commodities; specifications, marking	14	4.36	4	5.25	2	3.50	2	3.00	6	4.50
067 Timeliness in procurement or reconditioning	53	4.27	12	4.75	11	4.18	16	3.93	14	4.31
068 Timeliness of shipment to port of entry	35	4.34	4	5.25	11	4.45	11	3.64	9	4.67
069 Adequacy of port and inland storage facilities	9	3.62	0	--	skipped		4	3.50	3	3.67
070 Timeliness of shipment from port to site	22	4.23	5	4.40	3	4.33	6	4.33	8	4.00
071 Control measures against loss and theft	12	4.25	2	4.50	1	5.00	4	3.50	5	4.60
072 Controls against damage & deterioration in shipment	8	4.12	2	5.00	1	5.00	3	3.00	2	4.50
073 Control measures against deterioration in storage	9	4.12	2	5.00	1	--	2	3.00	4	4.25
074 Readiness and availability of facilities	24	4.36	7	4.29	1	--	8	4.12	8	4.71
075 Appropriateness of use of commodities	10	3.40	1	3.00	0	--	4	2.75	5	4.00
076 Maintenance and spares support	42	4.02	9	3.89	4	3.50	15	3.80	14	4.54
077 Property records, accounting and controls	31	4.00	12	4.25	2	4.50	5	3.80	12	3.73
078 Other	14	4.54	5	3.80	2	3.50	3	6.00	4	5.00

* Not calculated; Item 064 is the number of PARs that did not mark the box for "No Commodities"

COOPERATING COUNTRY: SPECIFIC OPERATIONAL FACTORS
FACTORS MARKED SIGNIFICANT AND NEGATIVE

I T E M	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
080 Cooperation within and between ministries	90	4.16	12	4.42	19	4.21	37	3.94	22	4.33
081 LDC gov't. and non-gov't. institutions	25	3.92	0	--	11	4.20	11	3.64	3	4.00
082 Reliable data	120	4.25	23	4.96	29	4.24	37	3.74	31	4.31
083 Competence/continuity in executive leadership	86	4.11	10	4.60	23	4.36	25	3.43	28	4.30
084 Host country project funding	85	4.13	7	4.71	21	4.14	26	3.96	18	3.94
085 Legislative changes	48	4.21	7	4.71	16	4.62	17	3.56	8	4.25
086 Project-related LDC organization	48	3.72	11	4.36	14	4.08	11	3.00	12	3.36
087 Procedural and bureaucratic problems	104	4.03	14	4.79	23	4.17	44	3.66	23	4.09
088 LDC physical resource inputs/support	78	4.17	20	4.74	19	4.50	20	3.45	19	4.06
089 Maintenance of facilities and equipment	65	4.18	17	4.35	6	5.00	23	3.77	19	4.24
090 Tribal, class or caste problems	16	4.33	2	5.00	2	5.00	5	3.40	7	4.67
091 Receptivity to change and innovation	41	3.61	4	5.25	15	3.73	13	2.85	9	3.78
092 Political conditions	54	4.06	9	4.67	22	4.27	14	3.57	9	3.67
093 Ability to implement project plans	65	3.78	12	4.58	17	4.00	21	3.05	15	3.87
094 Expand the impact after U.S. inputs terminated	61	4.14	15	4.60	16	4.00	14	4.00	16	3.93
095 LDC efforts to disseminate project benefits	15	3.80	2	5.00	2	4.50	4	3.00	7	3.71
096 Utilization of trained manpower	34	3.71	1	3.00	10	3.90	11	3.36	12	3.92
097 Enforcement of procedures	26	4.00	6	4.67	7	4.43	7	3.29	6	3.67
098 Other	12	4.25	0	--	3	5.00	9	4.00	0	--

PAR ANALYSIS - REGIONAL COMPARISONS EXHIBIT K Page 8 of 10

COOPERATING COUNTRY: COUNTERPART TECHNICIAN FACTORS
FACTORS MARKED SIGNIFICANT AND NEGATIVE

<u>I T E M</u>	<u>WORLDWIDE</u>		<u>EAST ASIA</u>		<u>LATIN AMERICA</u>		<u>NESA</u>		<u>AFRICA</u>	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
099 Technical education/ experience	76	4.12	16	4.69	13	3.92	20	3.45	27	4.40
100 Planning and management skills	103	3.97	24	4.42	21	4.05	39	3.57	19	4.11
101 Technician man years	71	4.38	16	5.00	16	4.40	15	3.80	24	4.30
102 Continuity of staff	52	4.25	3	4.67	17	4.62	13	3.62	19	4.32
103 Willingness to work in rural areas	45	4.16	7	4.71	12	4.55	13	3.69	13	4.00
104 Pay and allowances	135	4.29	33	4.61	34	4.48	42	4.00	26	4.08
105 Other	12	3.75	1	5.00	2	3.50	4	2.25	5	4.80

PROPOSED ACTIONS IN SECTION IV-B

ITEM	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
108.1 Continued as in PIP	103	4.73	23	4.87	23	4.52	28	4.68	29	4.85
108.2 Minor changes	45	4.36	6	3.80	11	4.45	16	4.19	12	4.75
108.3 Significant changes in the PIP	13	4.58	0	--	3	5.00	6	3.83	4	5.67
108.4 Extended beyond its present schedule	16	4.87	4	5.25	2	4.50	7	4.57	3	5.33
108.5 Substantively revised PROP follows	23	3.71	4	4.25	5	3.60	9	3.57	5	3.60
108.6 Evaluated in depth	29	4.14	3	5.00	10	4.40	9	3.56	7	4.17
108.7 Discontinued early	14	3.86	2	5.00	2	4.00	6	3.33	4	4.00
108.8 Other	17	4.23	16	4.56	12	4.36	29	3.85	15	4.47

ACTIVITY CODE OF PARs ANALYZED

ITEM	WORLDWIDE		EAST ASIA		LATIN AMERICA		NESA		AFRICA	
	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating	#	Average Rating
Total PARs Analyzed.....	321	4.42	55	4.67	73	4.48	103	4.07	90	4.60
<u>Code</u>										
1 AGRICULTURE	114	4.39	*		21	4.75	40	4.09	38	4.54
2 INDUSTRY	16	4.62	*		6	4.67	7	4.71	2	4.50
3 TRANSPORT	6	5.20	*		1	5.00	1	5.00	2	6.00
4 LABOR	13	4.38	*		3	3.33	5	4.60	4	4.50
5 HEALTH	33	4.47	*		4	4.75	17	4.29	6	4.17
6 EDUCATION	44	4.65	*		9	4.11	10	4.20	19	4.89
7 PUBLIC ADMINISTRATION; PUBLIC SAFETY	55	4.30	*		20	4.47	15	3.53	9	4.78
8 SOCIAL WELFARE	18	4.39	*		7	4.29	1	4.00	0	--
9 PRIVATE ENTERPRISE, MISCELLANEOUS	21	4.06	*		2	4.50	7	3.00	9	4.37

* Not calculated

COUNTRY CODE ?

999

Y = ?(XXX) ←----- Dependent Variable

001

Y RESPONSES (MAX=7)

1 2 3 4 5 6 7

X = ?(MAX=10) ←-----Independent Variables

92 93 94 95 96 97 98 99 100

X RESPONSES (MAX=9)

1 2

ENTER TABLE TITLE

world/ host q's

EXHIBIT L

An Annotated Example of Printout:
Analysis of Associations Between
"Rating" and Independent Variables
Coded in the PAR

Frequency		FREQUENCY AND EXPECTED VALUES OF WORLD/ HOST Q'S											
SUM OVER Y		Average Rating	Y = VAR 1, OVERALL		PARs Without Ratings		Unsatisfactory			Satisfactory		Outstanding	
-----		E(Y X)	OTH	1	2	3	4	5	6	7			
321	4.42	FREQUENCY OF Y	19	3	13	47	84	107	42	6			
IND VARS(X)			-----										
VAR 92, CASTE													
250	4.42	OTHER - Blank	13	2	10	35	70	83	33	4			
16	4.33	1 - Negative	1	1	1	0	6	4	3	0			
55	4.44	2 - Positive	5	0	2	12	8	20	6	2			
E(X Y)			1.83	1.00	1.67	2.00	1.57	1.83	1.67	2.00			
CORR.			0.036										
N			65										
VAR 93, CHANGE													
79	4.29	OTHER	11	1	3	8	25	25	6	0			
41	3.61	1	0	2	5	14	10	6	4	0			
201	4.64	2	8	0	5	25	49	76	32	6			
E(X Y)			2.00	1.00	1.50	1.64	1.83	1.93	1.89	2.00			
CORR.			0.330	←----- High correlation with rating									
N			234	←----- PARs with rating and P or N on variable 93; thus, included in correlation									

Common Problem

Serious Problem

Variable #	Project ID Number
1-	
2-	
3-	
4-	
5-	
6-	
7-	
8-	
9-	
10-	
11-	
12-	
13-	
14-	
15-	
16-	
17-	
18-	
19-	
20-	
21-	
22-	
23-	

1	-010
2	-011-1c
3	-1d
4	-2c
5	-2d
6	-3c
7	-3d
8	-4c
9	-4d
10	-013
11	-014
12	-015
13	-016
14	-017
15	-018
16	-019
17	-020
18	-023
19	-023.1
20	-023.2
21	-023.3
22	-023.4
23	-023.5
24	-023.6
25	-023.7
26	-023.8
27	-024
28	-025
29	-026
30	-027
31	-028
32	-029
33	-030
34	-031
35	-032
36	-033
37	-034
38	-035
39	-036
40	-037
41	-038
42	-039
43	-040
44	-041
45	-042
46	-043
47	-044
48	-045
49	-046
50	-047
51	-048
52	-049
53	-050
54	-051
55	-052
56	-053
57	-054
58	-055
59	-056
60	-057
61	-058
62	-059
63	-060
64	-061

CODING FORM FOR PAR DATA

CARD 1 of 2

SOURCE OF DATA - PAR BLOCK NUMBER

Variable #	Project ID Number
1-	
2-	
3-	
4-	
5-	
6-	
7-	
8-	
9-	
10-	
11-	
12-	
13-	
14-	
15-	
16-	
17-	
18-	
19-	
20-	
21-	
22-	
23-	
65	-062
66	-063
67	-064
68	-065
69	-066
70	-067
71	-068
72	-069
73	-070
74	-071
75	-072
76	-073
77	-074
78	-075
79	-076
80	-077
81	-078
82	-080
83	-081
84	-082
85	-083
86	-084
87	-085
88	-086
89	-087
90	-088
91	-089
92	-090
93	-091
94	-092
95	-093
96	-094
97	-095
98	-096
99	-097
100	-098
101	-099
102	-100
103	-101
104	-102
105	-103
106	-104
107	-105
108	-108.1
109	-108.2
110	-108.3
111	-108.4
112	-108.5
113	-108.6
114	-108.7
115	-108.8
116	-ID #
117	-U203
118	-062
119	-006
120	-006
121	-006
122	-006
123	-006

CODING FORM FOR PAR DATA

CARD 2 of 2

SOURCE OF DATA - PAR BLOCK NUMBER

EXHIBIT N
A MORE COMPLETE MODEL
FOR DEVELOPMENTAL HYPOTHESES

Science attempts to establish causality of the following:

A_1 and A_2 cause B; B causes C.

If such causality is established, then the experimenter knows that providing A_1 and A_2 should result in C. ($[A_1 \cdot A_2] \rightarrow B$, $B \rightarrow C$, $\therefore [A_1, A_2] \rightarrow C$)

Unfortunately, social and economic development are too complex for this type of causal postulation. We more often observe that some sets of A_i tend to be associated with some "C", and we may or may not be aware of the existence of intermediate statements ("B") or of some A_j that are also necessary. Based on such associations, our judgment as social scientists, and our partial knowledge of causality, we attempt to move from post hoc reasoning to science by postulating and testing hypotheses of the sort "If $[A_1, A_2]$ then C." This simplification of reality is illustrated in Figure B-1.

In the abstract example of Figure B-1, we assume that some set of events, A_1 through A_{12} , is necessary and sufficient to cause B_1 and B_4 . B_1 is a necessary and sufficient cause of B_2 and B_3 , which together with B_4 are necessary and sufficient causes of C_1 . (The analogy is a little less abstract if we consider C_1 to be a Goal, B_1 a Project Purpose, and the A_i as potential Outputs.) This can be expressed as:

$$\begin{aligned} (A_1, A_2, \dots, A_{12}) &\longleftrightarrow (B_1, B_4) \\ (B_1) &\longleftrightarrow (B_2, B_3) \\ (B_2, B_3, B_4) &\longleftrightarrow C_1 \\ \therefore (A_1, A_2, \dots, A_{12}) &\longleftrightarrow C_1 \end{aligned}$$

However, our insight into developmental mechanisms is not usually sufficient for us to predict the full set of causal linkages. We are liable to do as illustrated in Figure B-1, and associate some subset of A_i with the achievement of C_1 . As shown by the heavy dashed lines in Figure B-1, the critical variables observed by our USAID experimenter were A_3 and A_5 , leading to the simplified hypothesis:

$$(A_3, A_5) \longrightarrow C_1$$

Clearly, there is a good chance that the experiment of providing A_3 and A_5 as outputs will not result in attaining our goal. We have ignored the implicit hypotheses in the chain. If we provide A_3 and A_5 but fail to achieve B_1 , we must look for the implicit connecting events (e.g., A_4 and A_{10}) as well as the assumptions as to the availability of other A_i (e.g., A_{12}). For testing goal attainment, we must even consider issues not clearly related to the project -- $A_9 \longrightarrow B_4$ in the example shown.

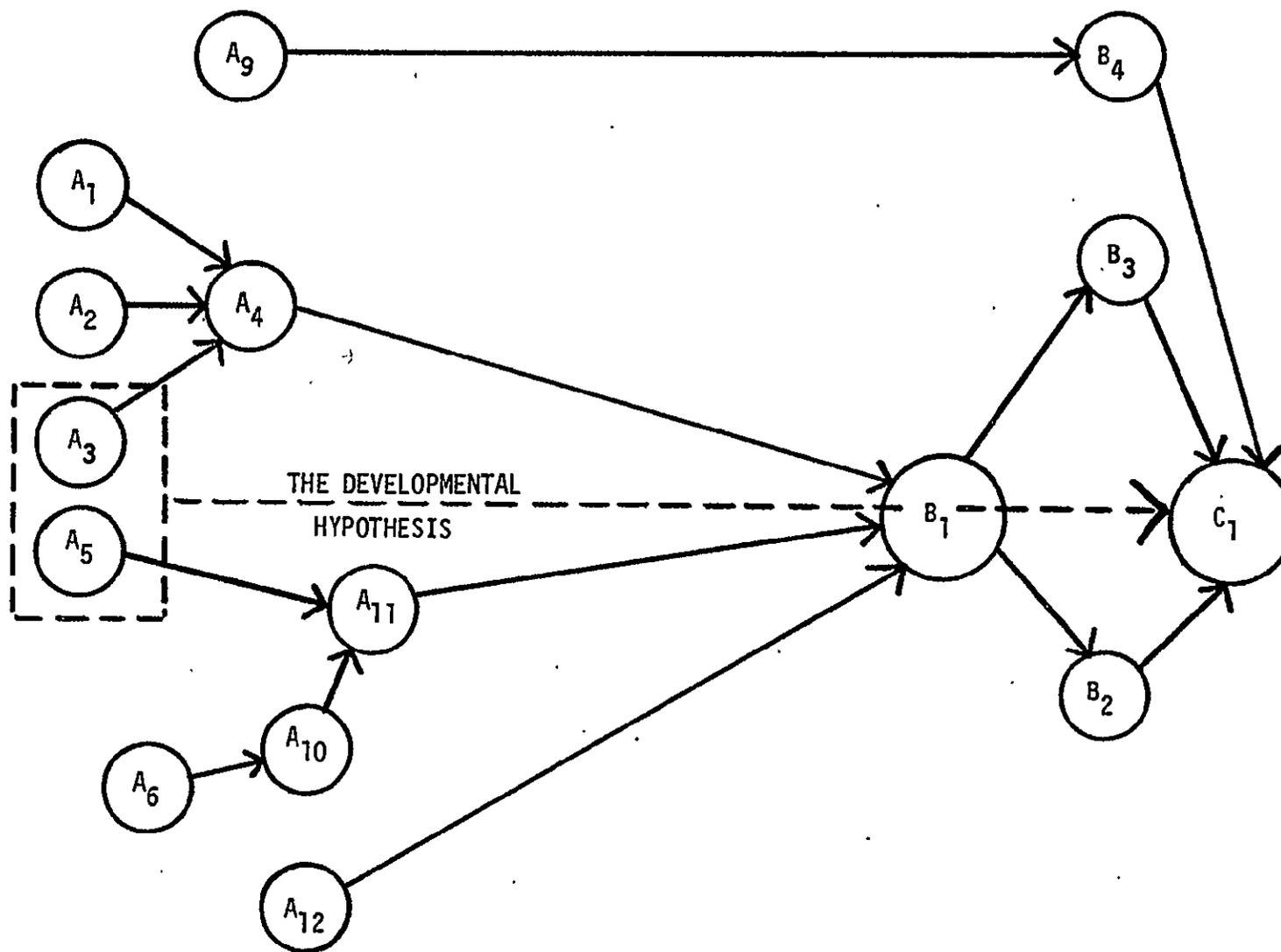


FIGURE B-1. Our Developmental Hypotheses Impose Order and Need Not Fully Comprehend Causality

EXHIBIT O
DESCRIPTION OF FRY CONSULTANTS' PROGRAMS
AND DATA FILES DEVELOPED UNDER CONTRACT NO. AID/csd 2510

Data Files

1. NESA1 contains data from 103 PARs from the NESA region with 124 data elements per PAR. Data can be punched onto standard 80 column cards with two cards per PAR; columns 1-13 contain the project ID number and column 80 is reserved for a card identification code.
2. LATAM contains data from 73 PARs from the Latin America region. Otherwise identical to NESA1.
3. EASIA contains data from 55 PARs from the East Asia Region. Otherwise identical to NESA1.
4. AFRICA contains data from 90 PARs from Africa. Otherwise identical to NESA1.
5. FRYSAM contains data from 43 projects visited by Fry Consultants that had submitted PARs. PAR process is described and analyzed on the third card of each record. Data is confidential. 182 data elements for each project. Project ID card in same format as above.

Computer Programs

1. FRYSOR is a program written in FORTRAN to calculate frequency distributions and correlations. The program allows the user to enter conversationally the following: the country of interest; ability to restrict analysis to the PARs with prespecified responses (up to 7) on any one of 124 variables thereby excluding responses that are meaningless or uninteresting; selecting any single variable as the dependent variable and the Y responses to be included in the analysis; selecting several independent variables

(up to 9) and the responses to be included for these variables. The computer program computes and prints -1- the frequency distribution for the dependent variable and for each independent variable, -2- the frequency of each response as a percentage of the total response for the variable; -2- the correlation between dependent variable and each of the independent variables.

This program is designed to calculate the frequency of responses to all quantifiable items in the PAR and to calculate the correlation of "overall achievement" with other items in the PAR.

Constraints -- 100 observations

2. FRYLAB is a file of 182 labels for variables used in analysis of PARs.
3. LABLOD is a program which ties FRYLAB labels to the other programs.
4. FRYTAB is a program written in FORTRAN to produce a table with up to 7 levels of response for a dependent variable as column headings and with up to three responses per independent variable as row headings. The program will produce a table with one set of column headings and up to 10 independent variables with all variables and response levels labeled. The country of interest may be selected by country code. The program also calculates and prints -1- the total number of PARs in each all of the table (i.e., each level of response for dependent and for independent variables) and -2- the total number of PARs in each row of the table; i.e., all PARs with a given response on the independent variable (like N on item) which also have any of the acceptable responses on the dependent variable. This

program is designed to analyze the pattern of responses to overall achievement as the dependent variable in relation to other items in the PAR which can be quantified.

Labels are printed for all variables; see FRYLAB and LABLOD.

5. CORS03 is the program in source language from which COR128 and COR182 are derived. Modifications of COR128 for other Agency users can be made most readily from CORS03 rather than from the object language version described below.
6. COR128 is a program in machine language to calculate and print a cross tabulation with expected values and correlations using data from the PAR. The program is designed to read data files with up to 128 variables per PAR on two cards. COR182 is an alternative version to read 182 variables on three cards for each PAR with the additional variables being descriptors of the PAR preparation process; all subsequent remarks refer to both versions. These programs are the most refined products of our programming efforts to date and the ones most likely to be useful for further analysis of the PAR.

COR128 provides the following features: -1- ability to select a country by country code (or to use a region or the whole world); -2- select any variable as dependent variable with levels of response as column headings for a cross tabulation (maximum of 7 responses plus all other responses automatically grouped together in the "other" column); -3- selection of up to 10 independent variables in a single run with up to 9 levels of response for each independent variable as row headings. (Unspecified responses are automatically grouped together in a row for "other" responses to the independent variable.)

-4- all variables are labeled in the print-out; see FRYLAB and FRYLOD;
-5- table headings are printed with output; -6- the row total and the expected value of Y (the dependent variable) for the row (one response to the independent variable X) are calculated and printed with PARs in the "other" column-ignored; -7- the expected value of X for each column (a response level of Y) is calculated and printed ignoring the "other" row; -8- the correlation of X with Y is calculated excluding any PAR in either the "other" row or the "other" column. The number of observations used to calculate the correlation is printed.

COR128 is designed to analyze the association between "overall achievement" rating from the PAR (Y) and other items in the PAR which can be quantified (X) and might plausibly be related to the successfulness of TA projects. The program can be used to analyze intercorrelations among the items in the PAR. COR182 has been used to do the same kind of analysis with variables. The program is presently designed for use at a time-sharing computer terminal.

7. FRPUN2 is a program to retrieve the project ID numbers of PARs with given characteristics and to print the ID numbers. The program can be used to punch these numbers into 80 column cards for input into another computer program. It can also be modified to print the entire data record about the PARs selected. The program is written in FORTRAN for use with the PAR data files with up to 128 variables on two cards per PAR. FRYPUN will punch the ID numbers as well as print them; FRYPUN has not been used yet. FRPUN2 is useful for data retrieval, for de-bugging of the data files and merging Fry data files with other data about the same projects from the ACS

or from other documents. FRPUN2 allows the following features: -1- the PARs selected may be restricted to those with several different characteristics (5 maximum) -- the selected PARs must have all of the characteristics requested (i.e., A and B and C and, etc.); -2- country selection or region or world with country code; -3- the acceptable responses on each of the selection variables may differ from one variable to another; i.e., 5-7 on variable A and 1 on variable B and 1 on variable C and, etc.

8. FRYCD3 merges data from the PAR with data about the PAR process for creating the FRYSAM file.
9. COR182 is a variation of COR128 for processing the FRYSAM file. See the description of COR128 above.

APPENDICES

- A. QUOTABLE QUOTES
- B. SPECIAL CASES: TERMINATING PROJECTS, PUBLIC SAFETY PROJECTS,
AND FOOD PROJECTS
- C. GOALS DEFINED FOR FRY SAMPLE PROJECTS
- D. A MODIFIED PROP MANUAL ORDER

APPENDIX A

SOME REPRESENTATIVE (VERBATIM) COMMENTS OF INTERVIEWS: "QUOTABLE QUOTES"

Our assessments of AID project evaluation and project management are based largely on personal interviews -- approximately 300 in-depth interviews and conversations with several hundred others during overseas conferences and at presentations in AID/W. We repeat here, verbatim, what we feel to be comments representative of those 500-600 people. We recognize two deficiencies, however. First, we necessarily can quote only the more articulate respondents. This is a particular problem in capturing the flavor of interviews with host personnel and to some extent of interviews with technicians. Second, we can quote only those ideas that could be expressed in a sentence or two.

A. ON-SITE INTERVIEWS

1. Director and Program Office

"People in AID are basically lazy and simply not used to questioning their assumptions.

"Lack of reporting is not fear of informing, but not wanting to make a lot of extra work.

"Everything was behind schedule, but the commodities were ordered anyway. That jumped out at me.

"The PAR was one of the things that signaled that eventually we would de-obligate the funds, even though the commodities had been purchased and were on the docks."

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"PAR is not a decision document; the PAR records and documents an evaluation.

"If the PAR was not going to Washington, we would have more precise statements of the questions and issues which were not yet resolved.

"P on the PAR means satisfactory.

"The issues are an in-house matter. They are not dirty linen to be aired.

"I believe in getting your own house in order first.

"I don't want to be harrassed with questions from AID, Washington.

"Is a PROP to support a project, or the contract under that project?

"But remember, conceptually, we have no projects, we only support the host.

"The Deputy Director strongly supports evaluation, and I know it's important, but I'm not sure just what I'm expected to do.

"PAR takes a special effort on everyone's part to be useful.

"It's like filling out a medical history form. You may fill it out accurately, but you don't ever think of changing your life because of anything that is written there.

"PAR diffuses rather than concentrates attention on the key issues.

"Even though I don't like this particular document too much, it sort of gives me a handle on discussing things with the technician.

"That contract is involved in politics and you have to be aware of the realities.

"You can't use the PAR to club the technicians or they will clam up on you.

"I would hate to see the procedure for using the PAR standardized; however, from what I hear about the evaluation practices in a nearby country, I would be willing to accept standardization if that was necessary to whip country _____ into line.

"It may take you some work, but I would certainly appreciate it if you would send me a copy of any interesting ideas from other countries about how they use the PAR."

"I take the minutes at the panel meetings. I try to boil it down rather than complete stenographic text. It's necessary to tone down the discussion somewhat because these minutes are read by the Ambassador, the State Department, too.

"The Mission Director heads the panel meeting. He tells them everytime that candor is the name of the game.

"You just can't say such strong things in the written PAR.

"The contract team was not doing any training at all. They weren't even interested in training. As a result of the panel meeting they have agreed now that they will go ahead with training and we will follow up to make sure they do it.

"We had to do the () project PAR Twice. There is only one in the book of course, but the first one was done and we had a panel discussion and decided we should talk with the contractor's representative and then do a second PAR.

"I agree with all the logic of the PAR System, but it's still just a lot of god-damned paper. If you don't like what the Mission is doing, fire the Director.

"Businessmen from the host country sat in on the Private Sector panel made a lot of comments some of which seemed irrelevant. Later I realized that some of them were more valuable than I had initially thought.

"We had a member of the royal family sit on the panel on the _____. He was so enthusiastic about the process that he went out and praised it in high circles about what a wonderful thing we were doing. He was enthusiastic not only about the substance of the project, but also about the evaluation process.

"The host representative almost got us into trouble because when we got to the _____ project, he wanted to have the Governor and Cabinet Ministers participating in the panels and that would have changed the whole nature of panel discussions from what we wanted it to be.

"The A-One Text is very important. That is probably the only part of the text that the Mission Director will get to read.

"I have had to focus attention on some of the mechanical details of the PAR rather than the substantive issues in order to get it done.

"Because of the newness of the system I thought we should focus on project evaluation rather than programmatic aspects. After reflection I think that that may still be the best way to do it next year."

"I will be sorry to see the Regional Evaluation Officer change jobs. It was possible to communicate with him informally to discuss the important issues.

"We're a small mission with less than 100 people. We're small enough that we know what we are doing and evaluation is easy.

"He's (the AID/Washington type) going to try to learn what the project is all about. And about how the project will affect the overall AID program.

"But in most cases, it would be unfair to AID/Washington to edit out these comments.

"It's easy to get the (host) to pay lip service to any of the ideas we may offer. It's quite another to get them to actually do something.

"The paperwork is pointless. If you're not getting results, fire the Director.

"Support to a host institution attempting to solve a problem does not guarantee that the problem will be solved.

"What differences does the evaluation make? We can't do anything to change what the contractor is doing.

"Look, I've got to get those PARs done if I'm going to continue to justify the evaluation function to the Director.

"Evaluation should be done before you start a project, not after. Then we'll be sure of the what and how."

2. Division Chiefs and Project Personnel

"I am a technical man; every report is bad.

"The PAR made us think through projects with a little more care than before because we had to put it down on paper..

"The PAR is an opportunity to use data processing as a management tool to provide better management of TA activities which would be useful at my level and above.

"The administrators around here ask you for things no technically qualified person ever would.

"A good program officer understands the instructions the technical people give him."

"The advantage of a grant is more specificity as to what you are actually going to do.

"We had a very useful evaluation exercise performed about three years ago. This evaluation was tremendously helpful. It didn't tell us anything new but it focused and clarified things for us, letting us take appropriate replanning actions.

"Our projects are conceived to fit our specialists. We compartmentalize to suit existing skills and interests rather than aim at solving problems.

"PAR, and the program memorandum, force me to sit down and think about what the hell we were doing. It created a concern. Caused us to go quickly to 'what the Hell should I be doing?

"Washington needs information to get money from Congress. Therefore, information to Washington is unavoidable.

"The PPP is a waste, the PROP is valuable; PIP is a waste of time and the PAR is good. The best thing about the PAR is it makes you focus not only on what you, yourself are doing. You can't put in a monthly report what is actually going on, because it goes to universities and other Missions in the region, etc.

"The PAR is a very good idea which opens eyes to the shortfalls, but it should be done every year.

"Evaluation is a waste of time. All we can do is pick a course and continue down it until something happens."

3. Contractors and PASAs

"We look around the country for things that we think need doing.

"We can be criticized for not making it clear what our staff scientists do.

"A project can only be a failure if it has specific outputs that you are going to measure it against.

"Please don't give us more paper work.

"Nothing critical goes into a report.

"Anything that is written in Washington we won't understand.

"It may take a year after the contractor arrives to get targets laid out."

"Unless we have to evaluate, there aren't many of us who will think out what they are going to try to do for the host and Agriculture; ... otherwise too many of us end up just taking a two year vacation.

"I give advice to the Minister of Finance. How can you evaluate that?

"How can I evaluate what I'm doing -- I'm here to lay low, not to be obvious, and when times are right, then somebody can help.

"Ten years in Vietnam taught me that we'll never be able to know whether or not we're really providing long-term benefit. Just make an assumption about what might help and stick with it."

C. HOST

"Americans must provide a specialized, concentrated technique orientation of technical assistance. It must be directed at filling gaps.

"The best way to receive science aid is not to need it.

"The final decisions will be political.

"A good indicator of the success of the project is that the Americans don't feel that they have wasted time.

"Yes, I would rather have breeding animals than an agricultural advisor."

B. AID/W

1. Desk and Staff

"Outside inspectors create defensive attitudes; his recommendations will be shot down.

"We will take poorer evaluations if such evaluations are more liable to lead to real action.

"We encourage mission use of consultants for evaluations.

"The stated objective of the Tax project was to increase Tax revenue. They claimed it was a great success although Tax revenues went down.

"PAR analysis should impact on and educate Mission Personnel through demonstrated facts about technical assistance. Responses to PAR to date have been 'For Christ's sake, tell us specifically what you want!'"

"The PAR is just supposed to stop deviations from a planned course of action. It is not meant to be an in-depth evaluative instrument.

"The PAR does not look at goal-setting in a useful way.

"The PAR is effective only if it is in a useful frame, but it does not check the framework.

"If the PAR system needs to be done, who makes sure it is done?

"PAR is a flag, to others than the technician, that a project is in trouble.

"It's possible to have a beautiful PAR that's meaningless, in that it doesn't relate to the proper PIP.

"PAR is not seen in the same light as the PROP.

"PAR is an internal management tool.

"PAR is too complicated for internal management, too complex.

"PIP is great; it helped our technicians how to get from here to there.

"That's a good idea, the Missions need it. We don't -- of course.

"Let's face it -- I've written a lot more Manual Orders than I've ever read.

"Program office should have a greater role in commenting on the PAR as presented to him. That is formal comment.

"Those (my) views will appear in the PAR for next year. I have talked with the technicians there.

"The attempt to quantify is meaningless and dangerous. It forces evaluation into a mold.

"The PAR should be every two or three years, not annually. It is too early for technicians to fill out a PAR at the beginning of a project and every three or four years it should be a major review.

"Every year to do a PAR is ridiculous waste of time. We haven't used it now."

"We have PARs, now we are getting PROPs for old projects. We have the CFS. Now we will have three documents to compare with each other. We could do it if we had a research staff, but we don't.

"The PAR is more useful to the Mission than to us.

"The PAR is putting us on a wrong track. (It just looks at AID's efforts without taking into consideration the efforts of other donors.)

"There is a danger of AID people just corresponding with other AID people becoming a self-perpetuating system. A man doesn't have time to do his work."

2. DP/ID

"All the problems were known completely by everyone involved before the PAR.

"The existence of the PAR forced people to face up to the issue earlier than they might have done otherwise.

"The PAR was the document which did confront the issue, probably the first one that did and to that extent, it served a useful purpose.

"The PAR's function can't be to reveal new truths, but to put down issues, where we want to go and...

"The response to the PAR must be as thoughtful as the PAR itself.

"I have been in the Agency ten years and I don't know how to raise the issue.

"The atmosphere is now the best it has ever been. It is possible to produce documents about strategy for education ... innovation in education, and they are well received.

"Because family planning is a priority program they don't feel the need to coordinate. They have a Congressional mandate.

" has objectives sufficiently different than ours that for our purposes they are inept. They are not interested in supervising a spraying operation or in the program. Their qualifications relate to image not AID results. Good men are terminated, the poor ones are kept.

"The host farmers are smart enough that if they're not buying and using fertilizer they've got GOOD reasons for it."

APPENDIX B

SPECIAL CASES: TERMINATING PROJECTS, PUBLIC SAFETY PROJECTS, AND FOOD PROJECTS

The exception does test the rule, and it is worthwhile to briefly discuss a few of the "exceptions": that must be considered by the improved PAR system.

1. Terminating Projects

As the basis for evaluation is to provide input to replanning, it would appear that evaluation of terminating projects should differ from evaluation of continuing projects. (Clearly, the replanning alternatives are considerably fewer for terminating projects.)

In view of the limited replanning alternatives, evaluation of terminating projects should be aimed at: (1) identifying problems that will require prompt action either during the remaining term of the project or immediately thereafter; and (2) providing information for the Mission and the AID memory, as to the relative success and failure of the project.

It turns out that the recommended evaluation process is in every way applicable to meeting the above requirements, and that by replacing the end-of-project report with a PAR for a terminating project, both Mission management and AID in general should get useful information at a relatively low cost. (Three terminating projects are typical of those included in the sample projects

that we studied. In one case, evaluation uncovered an important problem that required USAID action before termination -- a problem the Mission said it would have overlooked had the evaluation not been undertaken. In a second case, the responsible manager felt that development of the PAR had been well worth the cost because of the insight it had given him into that particular type of project. In the third case, none of the responsible parties were at the Mission, and the PAR was of no value to anyone.)

Evaluation should consider not only whether the desired outputs occurred (assuming presence of the inputs), but also how -- exploring the specific mechanisms of development. For a terminating project, the evaluation process should not be substantially different. The first question still is, "did the hypothesis hold up?" The second questions is, "if our hypothesis did not hold up, or even if it did, are there specific development mechanisms or input-output relationships that we have observed?"

Although the evaluation process for a terminating project should not differ from the PAR process, the emphasis of the report should differ in three important regards:

1. The report to AID/W is intended specifically as an analysis of the project for use by the AID (and the Mission) memory. Emphasis must be on proof and disproof of development hypotheses, and indications of approaches that did and did not work.
2. The significance dialogue is replaced by the simple question "what objectively verifiable results were there?" Those results then

should be compared to the hoped-for results, providing a basis for developing input-to-purpose causality.

3. Replanning implications are irrelevant except that the analyst might want to point out alternatives that might have worked better and to recommend a subsequent evaluation be undertaken sufficiently in the future to assess long-term impact of the project.

There is a special case of a terminating project, in which the Project Manager is told to close down his project as soon as possible. In this case, the evaluation can help define targets of opportunity -- that is, "what reasonable outputs can I expect to produce within the shortest possible time and with no additional resource expenditures?"

2. Public Safety Projects

There has been some speculation that because public safety programs are controlled from AID/W with a firm line of communication from the Missions to AID/W, that the evaluation requirement be relaxed or eliminated for public safety projects.

Recognizing our design criterion that the evaluation process must above all be useful to the Mission, we strongly recommend that public safety projects be included within the PAR system. The quality of communication between public safety project management and the Mission Director is not always adequate. The PAR requirement, although hardly resolving that issue, has allowed the Mission Director to focus his communications with the public

safety Project Manager and to influence, if not control, the course of public safety projects.

In short, if the Mission Director is to bear responsibility for public safety projects, or is to even stay informed about public safety projects, imposition of the PAR requirement should assist him.

3. Food Projects

The fundamental question for food projects is just who is managing them -- the Mission, AID/W, the voluntary agent, or the host? It is our recommendation that the Mission manage food projects, and that food projects be subject to the PROP, PIP, and PAR requirements. This is based upon evidence that food projects can be managed by the Missions.

However, if Mission management is not to be allowed to take replanning actions for food projects, then there is in fact no point to imposing the documentation requirements on the Mission. The Mission should be relieved of management responsibility and given the food officer billet for its own use.

Management of food projects can then be made the responsibility of AID/W or directly of voluntary agencies, subject to audit and review by AID/W personnel.

On the few projects we observed, both the USAID and AID/W left themselves to be intermediaries between voluntary agencies and sources of food. Their replanning actions were sufficiently limited that AID personnel were somewhat redundant.

However, it is our opinion that the PROP-PIP-PAR concept is worth extending to any project -- whether it be managed by AID/W, the Voluntary Agency, or the USAID. (Extending the system to include Voluntary Agency managers might help upgrade their management skills -- an important USAID function was helping the Voluntary Agencies manage and control their efforts.)

In any event, it is our recommendation that at least one aspect of the improved project evaluation system be extended to food projects. Every food project should have an end-of-project status, a clear statement as to when and how we can verify that the original purpose of the project has been achieved.

APPENDIX C

GOALS DEFINED FOR FRY SAMPLE PROJECTS

AGRICULTURE

1.
 - a. To achieve self-sufficiency in wheat and other cereal production by 1962 as a basis for agricultural development.
 - b. To develop a capability for sustained and steady increased growth of output after 1970 at a rate greater than the population increase.
 - c. To improve the profitability of crops and livestock and increase farm income.
 - d. To modify crop and livestock production patterns and improve product quality (to a level acceptable to world trade) which will save and/or earn foreign exchange.
2. Increase rate of economic development.
3. Increase in agricultural production in the short and long run.
4.
 - a. Assist host to achieve self-sufficiency in food production.
 - b. Help achieve adequate supply and distribution of essential agricultural inputs, accompanied by the appropriate technology.
 - c. Help develop the indigenous institutions, technical skills and management capability necessary to assure the full application of these inputs.
 - d. Help develop appropriate processing, marketing and distribution mechanisms for the agricultural products.
5.
 - a. Assist host to achieve self-sufficiency in food production.
 - b. Help achieve adequate supply and distribution of essential agricultural inputs, accompanied by the appropriate technology.
 - c. Help develop the indigenous institutions, technical skills, and management capability necessary to assure the full application of agricultural inputs.

- d. Help develop appropriate processing, marketing and distribution mechanisms for the agricultural products.
6.
 - a. Assist host to achieve self-sufficiency in food production.
 - b. Help achieve adequate supply and distribution of essential agricultural inputs, accompanied by the appropriate technology.
 - c. Help develop the indigenous institutions, technical skills and management capability necessary to assure the full application of agricultural inputs.
 - d. Help develop appropriate processing, marketing and distribution mechanisms for the agricultural products.
 7.
 - a. Build production-oriented Ag. Ext. Service keyed to developmental needs.
 - b. Assist farmers to improve their lot through increased production, improved health self-care, and household management.
 - c. Upgrade host Ag. Ext. agency to self-sustaining level.
 8.
 - a. Raise agricultural production and income of farmers and villagers.
 - b. Increase farmer's efficiency of using land and water resources without effecting a decline in these resources.
 - c. (Assist and train) host technicians to launch an effective program of soil and water conservation in the NE, but applicable nation-wide.
 - d. Assist in accelerated program of soil survey, land classification, and soil interpretation; assist all segments of the host Government but especially those associated with agricultural development.
 9.
 - a. Assist host to diversify regional agricultural production.
 - b. Assist host to expand and develop livestock production using such products of diversified agriculture as corn, grain sorghum, and protein rich crops.
 - c. Assist host to teach farmers in region to provide better health care and improve nutrition for livestock.

10. a. Achieve economic growth in Agr. Sector of at least 5%.
b. Modernize Agr. production and marketing.
c. Provide system to furnish farmers with adequate wholesale market administration.
d. Increase efficiency of agricultural marketing system and increase producer's income.
11. a. More active participation in local and regional institutions by less privileged segments of the population to obtain more influence in the country's economic, social, and political life.
b. More equitable distribution of income.
12. a. Increase per capita agricultural production so as to achieve a 5% annual increase in value of agricultural output by 1972.
b. Develop the policy and institutional framework, including trained manpower resources, required for sustained increases in agricultural output.

INDUSTRIES

1. a. To fully develop by June 30, 1971, the capability of the industrial center to serve as the focal point and catalyst in private sector participation in national development.
b. To provide technical and promotional services developing and publicizing available economic opportunities in order to attract private capital.
c. To increase productivity of existing industry by furnishing the necessary technical assistance and know-how.
d. To encourage the necessary institutional and legal reforms necessary to establish a favorable investment climate.

TRANSPORTATION

1. a. To create international connections by access to and egress from.

- b. To create economic growth within the country.
 - c. To bring cultural and social growth into outlying districts.
- 2.
- a. To contribute to economy, security, and stability of country through development and maintenance of an adequate national highway system.
 - b. To assure adequate and reliable ground transportation is available for host and USAID programs.
 - c. To develop capable, competent host highway department.

LABOR

- 1.
- a. Improvement of host administration capability in Labor Administration.
 - b. Assistance to economic development committee program planning and coordination.

HEALTH

- 1.
- a. Agricultural production.
 - b. Industrial production.
- 2.
- a. Assist the host to create programs that will inform, educate and motivate 90 percent of the reproductive age married population currently estimated at 110 million couples, to become family planning acceptors.
 - b. Assist the host to provide family planning services -- clinical and non-clinical -- for these couples.
 - c. Assist in training and equipping the family planning personnel necessary to carry out these activities.
 - d. Assist to measure and appraise all phases of the family planning program, the declared ultimate goal of which is to reduce the country's annual rate of population increase from an estimated 2.5 percent to 1.5 percent as soon as possible.

3. a. Assist the host to create programs that will inform, educate, and motivate 90% of the reproductive age married population, currently estimated at 110 million couples, to become family planning acceptors.
 - b. Assist the host to provide family planning services, clinical and non clinical - for these couples.
 - c. Assist the host to train and equip the family planning personnel necessary to carry out these activities.
 - d. Assist the host to measure and appraise all phases of the family planning program, the declared ultimate goal of which is to reduce the country's annual rate of population increase from an estimated 2.5% to 1.5% as soon as possible.
4. To increase the intake and absorption of essential nutrients by vulnerable segments of the population to decrease human malnutrition and thereby increase the productivity of human resources for more effective development purposes.

EDUCATION

1. a. To develop an integrated primary and secondary school curriculum with supporting textbooks and other teaching materials which will equip students with skills and attitudes enabling them to be productive citizens and responsible leaders in a modern economy and a democratically oriented society, and which will also prepare qualified students to continue their education in appropriate institutions of higher learning.
 - b. To develop the organizational framework and personnel of the ministry of education, so that it may be able to plan and administer a modern, well-rounded national system of education with reasonable capacity to meet the growing demand for economic, social and political development.
2. To develop an integrated, efficiently administered, self-sustaining national university dedicated to training leaders with special emphasis on agriculture, education and engineering.
3. Upgrade education to meet needs of modern industrial society. Emphasis on science and technology.

4. Upgrade educational system to meet needs of modern industrial society. Emphasis on science and technology at the higher education level.
5.
 - a. Assist host to develop educated people needed by government and business.
 - b. To assist host in responding to legitimate needs of rural populace in such a manner as to assimilate them into nation.
 - c. To assist in establishing host as language of instruction.
 - d. To assist in adapting education system to needs of agricultural economy.
6.
 - a. Assist host to develop educated people needed by government and business.
 - b. Assist host in responding to legitimate needs of rural populace in such a manner as to assimilate them into nation.
 - c. Assist in establishing language of instruction.
 - d. Assist in adapting educational system to needs of agricultural economy.
7.
 - a. To assist host to develop educated personnel for government and business.
 - b. To assist host to meet legitimate needs of rural populace in such a manner as to assimilate them into the nation.
 - c. To assist in establishing language of instruction.
 - d. To assist host to adapt education system to needs of agricultural economy.
8. Human Resources development.
9.
 - a. To stimulate the expansion and improvement of host higher education system through developing programs in vital areas, particularly at the graduate level.
 - b. Increasing the number and improving the quality of trained economists to help meet host development requirements.

10. a. To develop in host country modern institutions and responsible leadership which will set the priorities and make the hard decisions essential to the modernization of the society.
- b. To assist host to achieve the social goals defined in such fields as education, housing, manpower development, health, land tenure, and work opportunities.

PUBLIC ADMINISTRATION/PUBLIC SAFETY

11. a. Modernization of policies and operations of certain financial institutions.
- b. Establish new financial institutions to meet requirements of business and industry.
- c. Develop housing finance, increased savings, and available house units.
- d. Promote growth of Credit Union movement and cooperative housing.
12. a. Provide increased revenues for national development.
- b. Through more equitable and efficient administration of the tax function, increase the cooperation and support of host taxpayers in achieving the government's development objectives.
13. Establish environment sufficiently free from criminal and subversive influence to allow the continuation of political stability and the development of a democratically-oriented society.
14. Increase central government savings.

COMMUNITY DEVELOPMENT

1. a. To contribute to the improvement of the levels of living of the population.
- b. To assist the host to establish a mutually confident relationship between itself and the people.

- c. To contribute to host security.
 - d. To support the accelerated rice production program.
- 2.
- a. To raise standard of living.
 - b. To assist host establish rapport with the people.
 - c. Develop high yield wells for dry season irrigation.
- 3.
- a. C.I.
 - b. Increase family income.
 - c. Strengthen local self-government.
 - d. Increase capacity and willingness of central government to respond to village development requirements.
 - e. Develop local leaders.
- 4.
- a. Creation of regional planning capability.
 - b. Development of interministerial coordination.
 - c. Alteration of resource priorities and transfer of resources to NE.
- 5.
- a. Short-term mitigation of malnutrition and undernutrition among children of school and pre-school age.
 - b. Mobilization of local resources for community self-help activities.
 - c. Participation in feeding programs and nutrition education by private organizations and agencies.
- 6.
- a. Develop, in rural communities, a broad base of activist leadership elements motivated toward change and modernization, possessing the necessary organizational and managerial skills, and willing to press community demands and interests with the government and vested interests.
 - b. Establish productive, self-sufficient local enterprises and community associations utilizing modern techniques and practices,

involving popular participation, and reinforced wherever possible by regional groupings and "untied" government support.

7. a. Reduce, to extent possible, long-range effects of malnutrition on school-age children.
- b. Through provision of food to workers and dependents, assist community development and early stages of colonization.

PRIVATE ENTERPRISE/OTHER

1. a. The adoption of government policies and enactment of legislation, where necessary, which will be conducive to the growth of the private sector and foster a more favorable investment climate.
 - b. The formation, establishment and development of financial and service institutions, needed to promote and accelerate industrial growth.
 - c. The mobilization of private capital resources to increase foreign exchange earnings, facilitate the savings of foreign exchange through import substitution, or provide for the better utilization of indigenous resources.
2. a. To increase the area's annual production acreage through more efficient use of available water and land, with primary present emphasis on preparations for the project, and by working towards completion of on-farm development commencing with the _____.
 - b. Preparation of project development planning reports.
 - c. Training personnel in construction, supply, engineering, and project operations and maintenance, so that competent organizations can be developed to manage and complete the project.
 - d. Developing the capability to do land betterment feasibility analyses.
3. a. To increase USAID efficiency and foster more stable and respected host.
 - b. To aid in developing host manpower planning and utilization capability.
 - c. To assist host in coordinating various manpower development donors.

APPENDIX D

A MODIFIED PROP MANUAL ORDER

An initial draft of a recommended revision to the PROP Manual Order is included in this Appendix. The style as well as the content have been revised in accord with our recommendation that the Manual Orders provide concepts and policy guidance in preference to detailed instructions.

We have left open the question as to whether and how the specific format of the PROP should be revised, as the recommended evaluation improvements or be effected as long as the enclosed contract requirements are enforced.

Our recommendations for revision of the project evaluation process and the PAR are in no way dependent upon changes in the PROP.

DRAFT MODIFICATION OF THE PROP MANUAL ORDER

A. THE NONCAPITAL PROJECT PAPER (PROP) AND
PRELIMINARY PROJECT PROPOSAL (PPP)

1. What is the PROP?

The noncapital project paper (PROP) plans and provides the rationale for noncapital projects. It provides the basis for project authorization and should be periodically (general annually) updated as required to reflect the most current thinking on the project.

The preliminary project proposal (PPP) is an informal PROP submission submitted to elicit AID/W reaction or permit advance budget-year planning.

2. What Must the PROP Contain?

The PROP must contain clear statement as to why a project is being undertaken, how we will know when the project purpose has been achieved, the specific outputs that will be produced, and the specific inputs that are to be provided.

The design of a noncapital project can be viewed as a series of connected statements of the following kinds:

1. The USAID can manage a selected set of inputs to produce a pre-established set of outputs;
2. Achieving that set of outputs will result in some project purpose;

3. Achieving that project purpose will impact on a higher goal established by the programming process.

The PROP must clearly spell-out and differentiate between inputs, outputs, project purpose, and higher goals.

B. THE PROJECT DESIGN FRAMEWORK

To establish the project design, the following questions must be answered:

1. Why is the project being undertaken? What do we hope for as the terminal result of our activities, in terms of benefits that we expect to persist beyond our own efforts?

The "why" of a project is answered at two levels. At the first level are the higher goals of the project -- the macro-scale changes established by country-level programming and strategy considerations. At the second level are the specific changes to be created by the project itself. These specific changes are the project purpose.

2. How will we know when the project is over? This question examines project purpose to establish objectively verifiable indications that the project has been successfully concluded. If we are building an institution, then we must find a way of objectively verifying the institutions' capability to (1) successfully fulfill its intended function, and (2) persist without further external intervention. The basic question of "how will we know if the

project has been successfully concluded" is key to the PROP. To firmly establish this key to project design, we define the term "end-of-project" status, to represent the state and condition of affairs to be expected upon successful conclusion.

3. What specific outputs do we propose to achieve in order to reach our end-of-project status?

The USAID Project Manager in effect agrees to manage certain levels and types of inputs to achieve explicit outputs, the achievement of which it is expected will result in achieving the project purpose. Therefore, it is of utmost importance to make explicit the type, quality, and level of outputs to be provided through the project. This explicitness will both allow us to examine the project's efficiency, in terms of input resources required to achieve the outputs, and effectiveness/significance in terms of the extent to which achieving those outputs does in fact advance us toward the project purpose.

4. What are the explicit inputs required to achieve the project purpose?

As part of the planning process, the type and quantity of resources to be consumed by the project must be made explicit. Project design should include statements as to how these inputs will be managed to achieve the required outputs. However, detailed scheduling of inputs may be deferred until the development of Project Implementation Plan (PPP). Scheduling of outputs for the project must be included within

the PROP, using the PIP, Part 2 tabulation. (Refer to Manual Order 10__). If the Project Implementation Plan has been sufficiently thought-through at the time of the PROP, it is desirable to forward the Project Implementation Plan to AID/W and incorporate in the PROP by reference.

C. THE MANAGEMENT FRAMEWORK: MONITORING AND EVALUATION

Having established the design of the project, the PROP must then indicate the way in which Mission management tends to measure progress against the established plan. That progress should be periodically measured (and reported on in the Project Appraisal Report or PAR) in four separate dimensions:

1. Provision of inputs. Using the PIP, Part 1 schedule, provision of inputs should be clearly stated and scheduled. (The PIP, Part 1 schedule should be incorporated in the PROP by forwarding it to AID/W within 90 days of project approval.) It is a basic responsibility of project management to ensure that the inputs are provided as needed, and project management should enlist AID/W assistance where required.
2. Clarification of outputs. Using the Pip, Part 2 schedule, outputs should be clearly delineated and methods for measuring or objectively verifying achievement of output targets clearly established in the PROP. The Project Manager agrees to produce outputs, and manages his inputs to that effect. It is of critical importance that project, Mission, and AID/W management can objectively verify that outputs have or have not been produced as scheduled. It must be remembered

that outputs are distinct from inputs. The Mission provides and manages inputs to result in outputs.

3. Project purpose and end-of project status. Project management must clearly establish how we will demonstrate, upon successful completion of the project, that end-of-project status has been achieved. Often this will be a difficult task. Just as we must distinguish between input and output, so outputs cannot be measured to demonstrate end-of-project status. Rather, management must establish indicators that will enable objective and independent verification that the project has been concluded. Means of verification must be clearly established in advance -- that is, in the PROP. Further, the PROP must indicate how progress toward end-of-project status can be periodically assessed.
4. Progress toward higher goals. Progress toward higher goals will not be typically measured as part of the project monitoring and evaluation process. However, the PROP must clearly identify just what higher goals the project purpose is aimed at, and to the extent possible establish means of objectively verifying whether or not those higher goals are being achieved. Although analysis of that achievement is something that is properly performed as part of the Mission programming reviews, objectively verifiable statements of achievement should be included within the project framework.

D. REVISIONS

The PROP is intended as a life-of-project document in that one-time AID/W

approval should be sufficient. However, it is important that the project documentation, the most important single element of which is the PROP, reflect a current view of project circumstances and intent. Therefore, the PROP should be updated annually to reflect the most current thinking on the project. The Project Appraisal Report (PAR) should be used to inform AID/W that a PROP revision is to be required; the revised PROP then should be submitted not later than 30 days after Mission reprogramming. Two types of revisions are established. Class 1 revisions, involving substantial alteration of the project, will require AID/W approval. Class 2 changes, which may be submitted as required, involve changes in internal design or logic and do not require AID/W approval. Specific criteria for differentiating between Class 1 and Class 2 changes are as follows:

Class 1 changes. Class 1 changes are definitively any changes that require prior AID/W approval. As the basic project design is aimed at achieving a specific project purpose, changes in that project purpose and/or the way of measuring the end-of-project status must be considered Class 1 changes.

The only mandatory Class 1 changes are those that change end-of-project status. However, as part of the PROP review process, additional Class 1 changes can be established. Thus, the Mission PROP should identify those portions of the PROP that may be changed only with prior AID/W approval. AID/W may then counterpropose Class 1 changes, but in no circumstances should Class 1 changes be established that would constrain the Mission's ability to manage and allocate its input resources to achieve established outputs. To the extent possible, the AID/W - Mission dialogue should

center around the intended results of the project rather than the means of accomplishment.

Two types of changes are necessarily of the Class 1 type;

- (1) changes in the end-of-project status or the way of objectively verifying that status; and
- (2) changes in the expected date of achieving end-of-project status.

Class 2 changes. Class 2 changes are those that do not require prior AID/W approval and should constitute by far the bulk of the PROP changes. Changes in country circumstance, management of resources, and other input-oriented changes should always be Class 2 changes, not requiring prior AID/W approval. Although changes in output targets are not necessarily Class 1 changes, any such changes must be forwarded to AID/W either in the PAR or by resubmitting the PIP, Part 2, table.

E. FORMAT OF THE PROP

(This is an insert after item B of paragraph 6 format of Manual Order 1025.1)

Where the project agreement between the host and the U. S. meet the substantive requirements of the PROP, a draft ProAg may be submitted under a PROP coversheet. That coversheet should contain the information already designated for the first page of the PROP plus a statement of any differences between the U.S. and the host country objectives, providing the clear relationship between the project and Mission programming. The coversheet should also identify those ProAg revisions that would be categorized as "Class 1" PROP changes.

EXHIBITS

EXHIBIT 1: INTERVIEW GUIDE FOR OBTAINING AID/W AND FIELD OPINIONS ON
PROJECTS

EXHIBIT 2: INTERVIEW GUIDE SUMMARIZING AID/W PERCEPTION OF PROJECTS

EXHIBIT 3: DEBRIEFING SHEET SUMMARIZING THE PAR PROCESS

EXHIBIT 4: DEBRIEFING SHEET SUMMARIZING CHARACTERISTICS OF USAID
PERSONNEL INTERVIEWED

EXHIBIT 5: DEBRIEFING SHEET FOR ASSESSING PAR USE RELATIVE TO
CRITICAL SYSTEM DESIGN CRITERIA

EXHIBIT 1: INTERVIEW GUIDE FOR OBTAINING AID/W AND FIELD OPINIONS ON PROJECTS
(FILLED OUR BY FRY INTERVIEWERS)

INTERVIEW GUIDE

Mission:

Project Title:

Project Number:

Interviewee: .

I. General Opinions

A. Validity of objectives (where possible, specify data on which opinions are based): _____

B. Feasibility of project: _____

C. Soundness of project design: _____

D. Capability of contractor and USAID personnel: _____

E. Project shortfalls: _____

F. Valuable aspects: _____

G. Relevance of issues discussed in PAR: _____

Mission:

Project Title:

Project Number:

Interviewee:

II. Specific Opinions

A. Objectives

B.1 Broaden to be more significant

B.2 Leave as is

B.3 Narrow to make more achievable

B. Project Timing

C.1 Phase-out

C.2 Shorten term of project

C.3 Leave as noted on PAR

C.4 Stretch out to embrace longer term

C.5 Revise internal scheduling

C. Funding

D.1 Give more \$, if possible

D.2 Support as requested

D.3 Reduce \$ to enhance efficiency

D.4 Lower \$ priority

D.5 Cancel funding

D. PAR-Oriented (if not specifically responded to in answering above)

(Repeat IV-B of PAR) - page 9

Mission:

Project Title:

Project Number:

Interviewee:

III. Action Recommended

Interviewees should be requested to choose one of the following actions or suggest one not listed.

- A. Act as Mission requested
- B. Initiate in-depth evaluation
- C. Request further information for Mission
- D. Suggest funding modification (level or Priority)
- E. Other (specify)

IV. Initial Action to Implement Recommendations

- A. Forward recommendation to desk
- B. Forward recommendation to others in AID/W, besides desk, including:

C. Contact Mission. Method: _____

D. Other: _____

V. Follow-up Implementation Action

(Trace actual or expected course of events following initial action to implement recommendation.)

DESK OFFICER

PROJECT BACKSTOPS

P. E. OFFICER

OTHERS

OTHERS

III ACTION RECOMMENDED

Short-Term

Long-Term

- D. Agree With IV-B of PAR?
- A. Act as Mission Requested?
- B. Initiate In-depth Evaluation?
- C. Request Further Information From Mission?
- D. Suggest Funding Modification: Level?
- Priority?
- E. Other?
- A. Act as Mission Requested?
- B. Initiate In-depth Evaluation?
- C. Request Further Information From Mission?
- D. Suggest Funding Modification: Level?
- Priority?
- E. Other?

	DESK OFFICER	PROJECT BACKSTOPS	P. E. OFFICER	OTHERS	OTHERS
D. Agree With IV-B of PAR?					
A. Act as Mission Requested?					
B. Initiate In-depth Evaluation?					
C. Request Further Information From Mission?					
D. Suggest Funding Modification: Level?					
Priority?					
E. Other?					
A. Act as Mission Requested?					
B. Initiate In-depth Evaluation?					
C. Request Further Information From Mission?					
D. Suggest Funding Modification: Level?					
Priority?					
E. Other?					

EXHIBIT 3: DEBRIEFING SHEET SUMMARIZING THE PAR PROCESS

PROJECT NO. _____

129 1.0 WHO FILLED OUT, OR BORE MAJOR RESPONSIBILITY FOR FILLING OUT PAR:

1.1 Technician

1.2 Project Manager

1.3 Technical Division Chief

1.4 PEO or Program Office

1.5 Other

130 1.6 Still at Mission

131 2.0 REFERENCE TO PAR DOCUMENTATION

2.1 Did PAR-preparer refer to Manual Orders? Yes No

132 2.2 Did PAR preparer consult with the following before forwarding PAR to next management level:

2.2.1 Host Personnel

133 2.2.2 Program Office

134 2.2.3 Contractor

135 2.2.4 PASA

136 3.0 SOURCE OF PROJECT OUTPUT TARGETS

3.1 Stated by project personnel, without recourse to other within Mission

137 3.2 Extracted from other documents

138 3.3 Established through dialogue within Mission

139 3.4 Useful dialogue resulted

140 4.0 SECTOR/PROGRAM GOAL

4.1 Obtained from existing Mission documentation

4.1.1 CFS

141 4.1.2 PBS

142 4.1.3 Other

143 4.2 Asked or consulted with Program Office

144 4.3 Useful dialogue resulted

145 4.4 Not clear

146 4.41 Other Response

147 4.5 Section C-1 (011):

4.5.1 States project-specific rather than larger goals

4.5.2 Appropriate goals -- larger than project but measurable

4.5.3 Too broad -- immeasurable or otherwise unrealistic

148 4.6 Section C-1 goals are as listed in the CFS?

Yes No Other or not verified

Note: List goals for project on separate piece of paper, with project ID.

149 5.0 EVALUATION RESULTS

5.1 Shared in part with:

5.1.1 Contractor

- | | | |
|-------|--|--------------------------|
| 150 | 5.1.2 PASA | <input type="checkbox"/> |
| <hr/> | | |
| 151 | 5.1.3 Host government | <input type="checkbox"/> |
| <hr/> | | |
| 152 | 5.1.4 Discussed at length with program office
or non-technical management | <input type="checkbox"/> |
| <hr/> | | |
| 153 | 5.2 Source of evaluative findings -- who made the
original decision as to the health and prospects
of the project: | |
| | 5.2.1 Technician | <input type="checkbox"/> |
| | 5.2.2 Project Manager | <input type="checkbox"/> |
| | 5.2.3 Technical Management | <input type="checkbox"/> |
| | 5.2.4 Program Office | <input type="checkbox"/> |
| | 5.2.5 Top Management | <input type="checkbox"/> |
| <hr/> | | |
| 154 | 5.3 PAR review process -- Identify highest level of intensive
review (as opposed to perfunctory review and sign-off) | |
| | 5.3.1 Project Management | <input type="checkbox"/> |
| | 5.3.2 Sector Management | <input type="checkbox"/> |
| | 5.3.3 Multi-Sector Management | <input type="checkbox"/> |
| <hr/> | | |
| 155 | 5.4 Program Office/PEO role in review: | |
| | 5.4.1 Minor | <input type="checkbox"/> |
| | 5.4.2 Moderate | <input type="checkbox"/> |
| | 5.4.3 Major, tutorial | <input type="checkbox"/> |
| | 5.4.4 Major, decision oriented | <input type="checkbox"/> |
| <hr/> | | |
| 156 | 5.5 Were original project manager or technician level
evaluation findings revised as a result of discussions? | |
| | 5.50 No | <input type="checkbox"/> |
| | <u>BY WHOM:</u> | |
| | 5.5.1 Project Manager or Technician | <input type="checkbox"/> |

- 5.5.2 Technical Management
- 5.5.3 Program Office
- 5.5.4 Mission Director or Deputy

157 6.0 CHANGES CAUSED BY EVALUATION

- 6.1 Means of accomplishment modified (e.g., contractor changed, resources added, or approach to host modified)

- 158 6.2 Project replanned (e.g., outputs modified or rescheduled)

- 159 6.3 Project reoriented to clarified higher-level objectives (goals)

- 160 6.4 Change in P.M. and P.O. perceptions and communications about project

- 161 6.5 No change

162 7.0 VALUE OF PAR AND PROCESS

- 7.1 Mission perception
 - 7.1.1 Less than cost
 - 7.1.2 Equalled cost
 - 7.1.3 Exceed cost

- 163 7.2 Fry perception
 - 7.2.1 Less than cost
 - 7.2.2 Equalled cost
 - 7.2.3 Exceed cost

8.0 ESTIMATED COST OF PAR, TO PREPARE ONLY (IN MANHOURS)

8.1 Initial preparation of narrative _____ hours

8.2 Check lists _____ hours

8.3 Explanations of check list items _____ hours

8.4 Subsequent discussions _____ hours

164 8.4.1 Total Preparers time _____ hours

8.4.2 Total Preparers days _____ days

165 8.5 Confidence in estimates on preparation time

8.5.1 Low (post facto Fry estimate)

8.5.2 Credible Estimate (Fry or P.O.)

8.5.3 High (from preparer)

166 8.6 Total cost (all persons) of PAR preparation and discussion _____ hours

8.6.1 Total cost: _____ hours

8.6.2 Total cost: _____ days

167 8.7 Confidence 1. 2. 3.

168 9.0 PAR AS AN A.I.D./W REPORT

1 = Seriously misrepresented project

2 = Key issue not raised in PAR; issue made explicit but suppressed

3 = Key issue not raised in PAR: issue not made explicit in

4 = Subtle but significant difference

5 = Accurately described project - no real change in perception based on field observations

169 10.0 FRY ASSESSMENT OF PROJECT

10.1 Objectives valid? Y N

170	10.2	Project feasible?	Y <input type="checkbox"/>	N <input type="checkbox"/>
171	10.3	Project design sound?	Y <input type="checkbox"/>	N <input type="checkbox"/>
172	10.4	Contractor and USAID personnel capable?	Y <input type="checkbox"/>	N <input type="checkbox"/>
173	10.5	Project shortfalls?	Y <input type="checkbox"/>	N <input type="checkbox"/>
174	10.6	Valuable aspects?	Y <input type="checkbox"/>	N <input type="checkbox"/>
175	10.7	Issues discussed in PAR relevant?	Y <input type="checkbox"/>	N <input type="checkbox"/>
176	11.0	FRY RECOMMENDATIONS FOR PROJECT		
	11.1	Objective (Project purpose)		
		11.1.1	Narrow to make more achievable	<input type="checkbox"/>
		11.1.2	Leave as is	<input type="checkbox"/>
		11.1.3	Broaden to be more significant	<input type="checkbox"/>
177	11.2	Timing		
		11.2.1	Phase-out	<input type="checkbox"/>
		11.2.2	Shorten term of project	<input type="checkbox"/>
		11.2.3	Leave as noted on PAR	<input type="checkbox"/>
		11.2.4	Stretch out to embrace longer than	<input type="checkbox"/>
		11.2.5	Revise internal scheduling	<input type="checkbox"/>
178	11.3	Funding		
		11.3.1	Cancel funding	<input type="checkbox"/>
		11.3.2	Lower \$ priority	<input type="checkbox"/>
		11.3.3	Reduce \$, enhance efficiency	<input type="checkbox"/>
		11.3.4	Support as requested	<input type="checkbox"/>
		11.3.5	More \$, if possible	<input type="checkbox"/>

179 12.0 IMPORTANCE OF COMMODITY INPUT FOR OVERALL SUCCESS OF THE PROJECT

- 12.1 Trivial or no commodities
- 12.2 Minor
- 12.3 Important

13.0 SUMMARIZE POTENTIALLY TRANSFERRABLE EXPERIENCE FROM SECTION IV-A

-- WHAT ARE THE KEY ISSUES FOR THIS PROJECT?

180 14.0 PROJECT EXPERIENCE AND INSIGHT OF PAR PREPARER (VS POPULATION OF PERSONNEL INTERVIEWED).

- 1. Low-bottom 20% (0-20 percentile)
- 2. Med Low (21-40 " ")
- 3. Medium (41-60 " ")
- 4. Medium High (61-80 " ")
- 5. High (81-100 " ")

181 15.0 THE DEGREE TO WHICH MANAGEMENT ACTED IN AN HONEST AND TOUGHMINDED WAY TO ADDRESS THE REAL ISSUES

- 1. Low
- 2. Medium
- 3. High

182 16.0 DEGREE OF CONTROVERSY CAUSED BY PAR PROCESS

- 1. Little discussion
- 2. More than one meeting on an important issue with persistent disagreement at project manager level or above
- 3. Disagreement not resolved or resolved only by invocation of authority on an important issue with significant investment of management time

