

MEMORANDUM

January 6, 1986

TO: FVA/PVC, Tom McKay
FROM: FVA/PVC/ITA, Ronnye McIntosh
SUBJECT: Recommendations from PVO Evaluation Abstracts Project

You may be interested in the recommendation of the evaluation abstracts project that Jerry Hursh-Cesar has completed.

His report is broadly-based on PVC products: 36 evaluation studies, annual reports, interim reports, thought-pieces, trip reports. As you know, such products come in frequently and their abstracting creates labor-intensive work. Given this, the report concludes:

- The demand for quality abstract literature on AID-funded PVO activity will continue;
- As a result, abstracting and report up-dating will continue as a part of program operations within PVC; however if such activities are the responsibility of direct-hires, a backlog will most likely occur due to the intense competition for professional and clerical attention resulting from recent staff reductions.
- Furthermore, under the circumstances, it is not realistic to assign another paperwork chore to project officers which would require their training in abstracting procedure and in DIS entry codes (N=8600).

The recommendation, therefore -- in the light of dwindling professional and clerical resources -- is to shift the abstracting burden to grantees (for annual reports, final reports, and others documents, as appropriate) and to evaluators/contractors (for documents under their responsibility). Not only do these "authors" have broader knowledge of their reports, for them to provide a dozen codes and a one-page abstract is cost-free; and, additionally, their administrative burden is thinly distributed, i.e. one or two yearly.

This project has created an abstracting format compatible with PVC's annual reporting requirements and DIS' data entry process. As such, a lot of information for management and staff users (in PVC, FVA, AID/W and USAID Missions) can be made available through the PVC and DIS information systems.

In conclusion, with staff cut-backs, we need to find new ways to let our information systems cut down our work, as this project suggests. Implementing its recommendations would require: 1. A written instructions manual, outlining abstracting and entry-coding requirements for external authors (grantees, contractors, etc.); and, 2. initiating internal procedures for insuring the abstracts become a required component of any documents externally submitted to FVA/PVC and FVA/PPE.

January 1, 1986

MEMORNADUM FOR: Dr. Ross E. Bigelow
AID/FVA/PVC

FROM: Gerald Hursh-Cesar 

SUBJECT: Final Report: PVC Evaluation Documents
Project #938-0250

SUMMARY

The purpose of this project was to ensure that lessons learned from FVA/PVC's evaluations of PVO projects and programs are available for use by USAID Missions, AID/W, and other users.

Our assignment was to assist your office in reducing the backlog of evaluation studies that require abstracting and entering into the PVC information system and the Agency's Development Information System (DIS). This would involve testing a new subsystem for inputting PVC evaluation documents into these systems.

We accomplished the following:

1. Abstracting:

- o We developed and tested a procedure for abstracting based on a sample of nine evaluation reports.
- o We abstracted 36 evaluation reports and related PVO documents.
- o We revised the procedure based on the complete experience.
- o Recommendations on abstracting two generic types of documents are offered in the following pages.

2. New Subsystem:

- o We developed and "tested" a modified version of AID form 590-7 for inputting PVC abstracts into PVC's information system and into DIS.
- o We completed form 590-7 for all reports, appending the abstracts to them. This include taking subject-descriptors from the DIS Thesaurus.
- o Recommendations for both of these activities are shown in the following pages.

In the report that follows, we report our activities and recommendations in the sequence of the items shown as the second page, ENTRY_INSTRUCTIONS, of the DIS-input form 590-7. This permits us to consolidate the reporting and still cover all activities undertaken as part of the project.

Finally, these documents are appended to the report:

- o Appendix_A: A bibliography of the 36 documents abstracted and coded.
- o Appendix_B: A complete set of 590-7 forms and their related abstracts.
- o Appendix_C: An October 13, 1985 Hursh-Cesar to Bigelow memo, which was the first draft of the abstracting guidelines. We will frequently refer to this document throughout the report.
- o Appendix_D: An October 20, 1985 Hursh-Cesar paper, CODES FOR ABSTRACTS, which also is referenced in the report.

The next page is a copy of page 2, ENTRY_INSTRUCTIONS, of DIS form 590-7. Reference to this page will guide you through the subsequent report.

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ENTRY INSTRUCTIONS

1. Report Number - Unique number often assigned to the report by the corporate author. Many report numbers are a combination of letters and numbers. Example UCRL-1035 May also be used as Bureau acquisition number.
2. DOCID - AID/DIHF use only. Order number assigned to the document when it is processed.
3. Title - Enter the title from the title page and if there is no title page from the cover page. The title page appears after the cover page. Enter foreign titles in the original language and provide an English translation.
4. Author - Enter a maximum of three author names in order as they appear and in the following sequence:
Last name, First name, Middle initial. Example: Doe, John L.
5. Organization - Enter organization names for performing and sponsoring organizations.
6. Report date - Enter the year and month of publication of the report.
Format: YYYY-MM Example: 1985-01
7. Number of pages - Enter the total number of pages followed by "p" for pages and a period. Example: 123p. If pages are unnumbered, enter "iv."
8. Supplementary Notes - Enter any useful information about the document that is not included elsewhere, such as plans for publishing. Note revisions and include information on whether the document supersedes or supplements a previous one.
9. Abstract - Include a factual summary of the most significant information contained in the document, not to exceed 250 words. For specific instructions refer to the AID Abstracting Guidelines.
10. Descriptors/Identifiers (A) - Select descriptors from the AID Thesaurus which reflect major concepts of the document using specific instructions in AID Indexing Guidelines; or list concepts which are necessary to retrieve the report which may not be included in the AID Thesaurus, or to be used if the Thesaurus is unavailable.
(B) Document Type (C) Code for Institution evaluated
11. Contract/Grant Number - Enter the AID contract/grant number under which the document was produced. (A) Refers to Contract Author. (E) Refers to Contract Evaluated.
12. Project Number - The unique 7 digit number assigned to AID projects, which may be followed by a 2 digit subproject suffix. Multiple project numbers may be assigned.
13. Release authority - Unrestricted/unlimited documents are released to the public. AID Only documents are released to AID and its contractors.
14. Availability (Optional) - State where the document may be obtained.
15. Document Disposition - AID/DIHF use only.

FINAL REPORT: PVC EVALUATION DOCUMENTS

I. INTRODUCTION

As agreed, we started the abstracting and coding process by developing an abstracting procedure based on a one-fourth sample of nine (9) evaluation reports. We focused on evaluation reports with the understanding that formal field evaluations would comprise the bulk of the assignment.

And such evaluation were the majority of backlogged documents. But, as it turned out, about one-third (14) of the 36 documents were not evaluation studies, but workshop reports, progress reports, trip reports, and thoughtpieces.

These papers led to a major overhaul of the first proposed abstracting guidelines. The resulting guidelines attempt to meet the needs of both generic types of papers.

Further, the modified Form 590-7 coding scheme developed tentatively (before presentation to DIS officers) was also predicated on assumptions (1) that evaluation studies would comprise the bulk of the coding problem, and (2) that an Evaluation Officer would be in FVA/PVC to oversee any future abstracting by Junior-level staff.

When these assumptions proved wrong, and after a couple of meetings with DIS officers, our sights were lowered with respect to coding as well.

II. REPORT NUMBER

Item 1 on Form 590-7: We adopted a numbering system as suggested by the form's instructions: a unique seven-digit number assigned by PVC to each document and which is a combination of numbers and letters. The first 36 documents are numbered: PVC0001 to PVC0036.

III. ORDER NUMBER, TITLE, AUTHOR

Item 2: DIS-only Order number, accept as is..

Item 3: Title, accept as is.

Item 4: Author(s), accept as is.

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IV. ORGANIZATION

Item 5: Entering the name of the "performing organization" or the "sponsoring organization" is no problem so long as there is only one implementing group and only one sponsor group. What is not clear in these instructions is how to code an intermediate organization which is given funds to be routed to an ultimate implementing organization. Nor is it clear how to code an indigenous PVO which gets funds from a U.S.-based PVO. Such situations were found in a few reports.

We recommend coding the source_of_funds as the sponsoring group, and all others as implementing groups. In such cases that, for example, AID is the source of funds and the International Eye Foundation is the implementing agency but an intermediate agency disburses funds, AID is coded as the sponsor. However, the present instructions do not include AID. Sometimes the evaluation-related document will not be an AID-commissioned product. We have coded AID as the sponsor in the 36 documents coded here.

The above recommendation may be errant, because some PVOs are not implementing agencies, but are only grant administrators.

V. DATE AND PAGES

Item 6: Report Date, accept as it.

Item 7: If pages are unnumbered (how often does this happen?), we recommend counting them rather than entering a disqualifying code ("lv"). First, it's a simple task; and, second, we assume that all information on this single sheet of paper is important. If so, failing to capture something as simple as the number of pages is inconsistent with its priority.

VI. SUPPLEMENTARY NOTES

Item 8: This is a discretionary. The user is invited to enter any "useful" information on plans for publication, revisions, superceded documents, etc.

Our first inclination was that, again assuming that all information is important, discretion should be eliminated, particularly if Junior-level staff were to do the abstracting and coding. So we made coding such information automatic (see Item A, "DOCUMENT" in Appendix C.). There, we built into the coding the "Interim/Final" status of the report and whether it "supercedes" another.

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After some experience, we revised our thinking on the grounds that in the absence of the continuity of a PVC evaluation officer, a Junior-level clerk is not going to have routine access to such information as whether a follow-up, final report will be coming 18 months later or whether the present version replaces an earlier draft.

For PVC, the problem that arises here and in other places is to coordinate among different contract officers to ensure that each officer provides the information required for abstracting and PVC and DIS system entry. If, in fact, abstracting and system-entry is important for PVC, then obviously steps must be taken to formalize the end-of-project activities of all PVC contract officers, to ensure that each document is rendered completely and consistently with DIS requirements. Or, an alternative must be found.

At the other end of the reporting chain is the contractor. We offer a variety of recommendations below on what contractors can be required to do at no additional cost, to ensure that evaluation documents gain computerized access to USAID Missions and other AID/W offices.

VII. ABSTRACTS

Item 9: For the description of activities here, frequent reference is made to Appendix C, which contains a draft of abstracting guidelines, and Appendix D, which is a draft set of guidelines for coding and abstracting documents, and which summarizes some of the information in Appendix C.

A. BACKGROUND:

In the belief that reports of evaluation studies comprised nearly all of the documents to be abstracted, a one-fourth sample of such studies was pulled. (At the time we drew this purposive sample, it was about one-third of the documents on hand.)

Drawing the sample purposively means that we deliberately ignored papers that were not actual studies. This proved to be a mistake (unless future documents are going to be predominantly evaluation studies).

It was a mistake inasmuch as we set up a procedure that very strictly culled information from the evaluation studies in the form of the LOGICAL FRAMEWORK (the "LOG FRAME"). We did this on the grounds that studies should be evaluated and reported (and abstracted) according to the same system and criteria by which they are designed and implemented.

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Our thinking along these lines has not changed. The logic is good.

However, as mentioned, two out of five documents (38%) were not studies. The Log Frame-inspired abstracting scheme could not accommodate these non-studies. As a result, three-fifths of the documents were coded by one set of standards and two-fifths by another. More accurately, the two-fifths were coded by the standard of "proportionality":

Proportional abstracting: Gives greater proportion to the most important information, and shows emphasis with such phrases as "emphasis on," "focus on," "report is largely devoted to," "the paper's major portion," etc.

In the process of abstracting these 14 documents, we developed a procedure that appears useful and informative.

B. ABSTRACTING INSTRUCTIONS:

Now, we will go page-by-page through Appendix C, starting with the third page -- which is page one of the memo: ABSTRACTING INSTRUCTIONS FOR PVC DOCUMENTS. We do this in order to recommend the procedures that are still valid and useful, those that are not, and those that can be usefully modified.

Page 1-2: These are General Instructions for abstracting (1) evaluations, (2) audits, and (3) final reports.

These should be retained. They simplify the DIS guidelines, which also pertain to many other documents. Overall, the two pages are an easy introduction for the novice to abstracting.

Page 3-8: Ignore for the moment. These "Specific Instructions" for coding Form 590-7 are dealt with in later comments on pp.12-13 about categories in the form.

Page 9: This page introduces the "Abstract Narrative" and gives the logic of the system:

- o The reasoning for structuring abstracts according to project LOG-FRAMESS is that AID projects invariably are designed, agreed, implemented, and evaluated according to LOG-FRAME logic and indicators. Their reports and abstracts should require no less.

For evaluation studies, this reasoning is valid and useful. In practice, study reports are both easy and informative to abstract in Log-Frame format. But, as said, the format breaks down with trip reports, workshop reports, thoughtpieces, and the like.

If we were to retain the Log-Frame format for studies and still wish to abstract other documents, two different systems would be needed. While we strongly favor the Log-Frame format, it would be a mistake to retain two different abstracting procedures for PVC documents. In the absence of an evaluation officer, it will tough enough to get any abstracting done, much less consistently and with uniform standards for two different forms.

So, it makes most sense to develop a single abstracting system that accommodates all types of documents (see Section XII, below).

In introducing the Log-Frame abstracting system, we noted that the system is made up of three parts: Introduction, Body, and Conclusion -- comprising four paragraphs and 250 words (+/-10%). While reports' content cannot be anticipated, each of these parts is comprised of certain categories of information, which can be used uniformly to ensure that all documents are treated in the same way.

That is, each abstract was to condense essential information into a description of how well the project met its (1) input, (2) output, and (3) purpose/goal objectives. Some of this thinking should be retained in a future abstracting system.

Page 10-12: Specifically, the content and instructions for the FIRST PARAGRAPH of the abstract should be retained. The first paragraph is made up of eight elements that set the backdrop for reading the abstract:

1. Information activity: e.g., evaluates, designs.
2. Temporal limits: e.g., final report, preliminary findings of a three-year project (1982-85).
3. Implementing agency: acronyms only: e.g., MFM, IEF.
4. Program area: e.g., blindness prevention, small-scale enterprise.
5. Project purpose: improvement in, e.g., nutritional status, rural health services.
6. Beneficiaries: e.g., children 0-5 years, small farmers.

7. Location/reach: e.g., Haryana state, coastal fishing zone.
8. Country: e.g., Thailand, Malawi (only those included in the evaluation, not in the overall program).

With numbers keyed to the above items, here is an example of the kind of introductory paragraph that should be used for all future abstracts:

- o (1) Evaluates the (2) interim achievements of the (3) MFM (4) applied nutrition program (ANP) to (5) develop a rural supplementary feeding program for (6) children 0-5 years of age in 50 villages (7) in the southern region of (8) Tanzania.

This introduction has the quality of "who did what for whom, where, when, and why." The treatment is good for any type of document, and quickly informs the reader of the essential character of the document.

Page 13-17: As originally proposed, the abstract's SECOND PARAGRAPH dealt with relative success and failure of achieving project Purpose (or Goal, in rare cases). And the THIRD PARAGRAPH dealt with achievement of project Outputs (or Purpose if Goal was treated in Para 2). The format for both paragraphs was the same, so they will be combined in the following description:

- A. Summary: Evaluator's assessment of success/failure.
- B. Success: Degree of achievement of purpose, etc. .
- B(1) Type_of_success: Review of achievements by OVIs.
- B(2) Causes: Reasons for achievement.
- B(3) Unexpected_results: Unplanned positive effects.
- C. Failure: Degree of failing purpose, etc.
- C(1-3) -- Same format as B (above), but cast negatively.

The content/format of these paragraphs should be discarded in a new system. First, they are even somewhat too rigid for many evaluation studies -- PVOs do not report uniformly by project purpose, outputs, inputs, etc. And, second, these paragraphs do not adequately reflect the proportional content of non-studies.

Page 18-20: The FOURTH PARAGRAPH comprises information on "lessons learned" that should be retained in the new, combined abstracting system. Specifically, the document should be abstracted for any evidence that may benefit others elsewhere with respect to:

1. Four Pillars of AID Development Strategy:
 - o Institution-building/capability
 - o Policy implications/reform/dialogue/influence
 - o Private sector involvement/enhancement
 - o Technology transfer/diffusion of innovations

2. Related Elements of Development Programming:
 - o Project costs/cost-effectiveness
 - o Sustainability/viability
 - o Benefit distribution/spread effects/equity
 - o Replicability
 - o Local participation/participatory mode
 - o Leadership development/role of leaders in project
 - o Collaboration/networking with other agencies
 - o Host government relations/services integration
 - o Other

The memo gives an example (p.19) of a fourth paragraph incorporating some of the lessons from a project. As the example indicates with the last lesson learned in this fictive project, reports do not always identify such lessons as lessons:

- o Lessons: Integration with government food programming and information can, if government is viewed favorably, add unexpected strength to PVO efforts. However, the project shows again that the control over key components (A/V materials) is desirable; and that response to field exigencies is weakened by poor monitoring.

Of course, if PVOs and other contractors are not required to report this kind of information, they won't -- or, will do so erratically. Below (see Section XII, starting on p.14), we recommend a means of developing compliance with these reporting requirements.

Finally, for this section, a note on "recommendations." Authors, properly, like to give their recommendations of next steps to improve a project. Recommendations are usually featured prominently, and it is easy to abstract them.

Abstractors should not rely heavily on recommendations, at least for the reason that: "Findings are more important to report than recommendations, which presuppose findings and which sometimes are the obverse of findings" (p.18).

VIII. DESCRIPTORS/IDENTIFIERS

Item_10 (Form 590-7): The virtue of the Log-Frame abstracting system initially proposed was that we felt that a Junior-level staff-person could handle the abstracting assignment. So long as the report followed a Log Frame logic, the task was relatively simple.

Given the nature of all of the documents that will be abstracted, we no longer believe that staff who are not professionals in the field will be able to handle the abstracting assignment. The problem of sorting out what content is what is now much more subtle and judgmental than an non-professional could or should be required to deal with. The job is for professionals.

While the general problem gives us pause, so does the specific problem of coding Descriptors from the DIS_Thesaurus. There are 173 pages and over 8,600 descriptors in the thesaurus. If one person were responsible for coding descriptors, there would not be much of a problem. But if all concerned PVC staff have to code the descriptors for each of their own projects, we have to be concerned about a uniform approach and uniform coverage of the descriptors.

It is one of our recommendations that PVC staff take on new responsibility for the abstracts and Form 590-7 codesheets for their own projects. In light of this, we recommend that staff be given thesaurus "training" by DIS staff.

A second problem in this section that was successfully resolved with DIS was the identification of Document_Type. Below is a list of documents types that should account for all types of PVC abstracts:

<u>DIS_Code:</u>	<u>Document_Type:</u>
15	Project Evaluation Summary (PES): AID produced.
17	Special Evaluation Report (SER): Contractor reports. Include Interim and Mid-term Evaluations.
18	Audit Report
52	Interim Report/Annual Report
53	Progress Report (Also includes "Annual Report")
58	Bibliography
59	Trip Report/End of Tour Report
68	Final Report

A third element of Item 10 is the Code_for_Institution evaluated. A list of PVC codes should be very easy to devise. But it has to circulate to all concerned staff for their use.

IX. CONTRACT/GRANT AND PROJECT NUMBERS

Item_11: Only about one-half of the documents abstracted showed their Contract/Grant Number. The information has to be specifically required back from contractors, or PVC abstractors (who may not have been around when the project was contracted) will have to refer to the files. The first method is better.

Item_12: None of the abstracted documents carried the AID Project Number. Same recommendation as above: Contractors can be made to supply this information in their reports.

X. RELEASE, AVAILABILITY, OTHER

Item_13: For this item, Release Authority, it is difficult to imagine many PVC documents that will not be "Unrestricted/Unlimited." Accept as is.

Item_14: For Availability (optional), it seems likely that DIS will always be out of date. In this exercise, we were able to code only that documents were available with FVA/PVC, Room 248, SA-8. Presumably, contractors could be coded as available sources, once their reports are cleared for release -- which may or may not occur before abstracting.

Without a single, concerned PVC officer to keep tracking the dissemination of documents, it seems unduly optimistic to believe that individual staff, with their own priorities, will track different documents and up-date DIS accordingly. Nor does it seem likely that contractors will uniformly report changes in the dissemination status of their reports.

Our recommendation is to forget this item, or have one PVC staff appointed to make the follow-ups. The second alternative seems unlikely.

Item_14-15: DIS-only: #14 -- Document Disposition; #15 -- Entry Date.

XI. OTHER CODES CONSIDERED

This section refers to Appendix D, CODES FOR ABSTRACTS. Here, we mention only briefly the disposition of some of the other codes considered for addition to the DIS Form 590-7.

Item C-3 (on Page 1): We originally thought it useful for the purposes of information dissemination to know into which languages a document is translated. With the loss of the coordination and continuity of an evaluation officer, this is no longer realistic. Junior- or professional staff are not likely to stay on top of the problem in any systematic way unless as part of their job description.

Contractors could as a part of their contract obligations be required to report any translations. But this couldn't be required indefinitely.

We feel that the arguments against getting information on translations are stronger than those for.

Item C-4: We could be persuaded to drop the case for Country Codes on the grounds that names of countries that figure in an evaluation are in the text of the abstract. Where many countries are involved, we have seen that the PVC practice is to refer to the regions concerned or to label the focus as worldwide.

Nonetheless, we recommend that all concerned countries be coded (and the DIS form modified as necessary) by the contractor.

Item C-5: The separate coding of Activity is not necessary if the proposed abstract guidelines are adopted, because the activity ("Health") is part of the first paragraph.

Item E: Our interest in knowing the Dates of the project duration, the evaluation period, and the report remains unchanged. To us, it is important to know whether an evaluation occurred at the mid-point or toward the end of a project. Or, to know whether the evaluation period was 10 days or four weeks. Or, to know whether the report was written immediately after the evaluation -- while field experience was still fresh -- or six months later.

However, we defer to the PVC judgment that this information is less useful than others.

Item F: We learned that the type of Funding (Matching Grant, Institutional Development Grant) is already available in the PVC information system.

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Item_G: The Methodology of the "evaluation" is still a bit confused for us. Methodology inconsistently appears in DIS output. It is not coded on DIS Form-590-7, nor has it been incorporated into the abstract.

This is an item that we feel contractors should be required to provide in an uniform way. And the DIS form should be modified in this single case to incorporate PVC interests. The code categories we recommend are as follows:

<u>Code</u> :	<u>Methodology</u> :
01	Content analysis/secondary data/reports
02	Project/institutional records
03	Workshop/conference/discussions
04	Site visits/observations
05	Formal interviews: AID/USAID officers
06	Formal interviews: Contractor HQ staff
07	Formal interviews: Project field staff
08	Formal interviews: Host Government Officers
09	Formal interviews: Other country informants
10	Formal interviews: Beneficiaries
11	Sample survey interviews: Beneficiaries
<u>Other</u> :	
12	Longitudinal survey w/o control
13	Longitudinal survey w/controls
14	Other field methods (e.g., case study, focus groups, participant observation, etc; Specify: -----

Item_H: Log_Frame_Levels, dropped on the grounds that these were not descriptive of enough reports.

Item_J: If made a uniform requirement of contractors, the Contract/Grant_number would invariably be available for the DIS entry form.

XII. SUMMARY OF RECOMMENDATIONS

In reading these recommendations, one point to keep in mind is that we see the Abstracting/DIS coding activities evolving either in the form of (a) a single PVC staff member having overall coordinating responsibility for abstracting (like a PVC "librarian" or data manager); or (b) all PVC project officers having the same responsibility for their own projects.

A single-person system is better for unity and regularity of approach. As part of his/her Position Description, one person could take responsibility to ensure that all work is done, as well as to up-date the evolving life of any report in public dissemination channels.

With its cuts in staff, we doubt that PVC is going to invest this much in one person's job. Moreover, with the loss of the unit's evaluation officer, much of the motivation for supervising the abstracting and coding of reports will be lost as well.

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This, then, becomes the kind of work that, if kept up at all, tends to get "dumped" on Junior-grade staff. Knowing now what we do about the substantive nature of the abstracting problem, it is not suitable for anything less than a professional or a closely-supervised non-professional staffer.

On the other hand, to do this kind of work in perpetuity and uniformly, staff professionals must be bureaucratically required to abstract and code reports by a specific system. Presumably, abstracting could become another reporting requirement for staff. However, unless there were coordination and modest supervision, each individual will in time tend to go his/her own way.

All of this is by way of saying that we think the most appropriate answer -- in light of dwindling professional and clerical resources -- is to put the abstracting burden onto contractors.

This is not as thoughtless or as burdensome as it may appear. Contractors write the full report that is then abstracted by another party. Contractors, surely, have the most intimate knowledge of the report's content. For them to provide a half-dozen codes and a four-paragraph (250-word) abstract is virtually a cost-free exercise.

Moreover, the burden is thinly distributed over the contractor corps. A contractor who evaluates other contracts may write two or three abstracts a year. A contractor who reports on its own activities (interim progress report, final report, report of a workshop) may write one abstract a year.

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In fact, for some contractors the abstract would become their Executive Summary. (Given their varying criteria for executive summaries, we would not want their summaries to be our abstracts, but would be perfectly willing for them to use the abstract for summaries.) Of course, the abstracts are drafts for review and revision by PVC staff.

The obvious problem in using contractors to write abstracts occurs when a third-party contractor is not involved. Instead the first-party contractor summarizes its own progress for the second-party sponsor (AID). Opportunities to appear self-serving are boundless.

Accordingly, we must have reasonably firm criteria by which the abstracting and coding are done. The following outlines the kind of abstracting/coding requirements that we feel can be placed on contractors with no discomfort or loss to them.

The recommendations are divided into (a) recommendations for contractor-supplied codes; and (b) recommendations for the contractor's abstract.

A. CONTRACTOR-SUPPLIED CODES:

In this case, AID staff would be providing certain codes (AID project number, Grant/Contract numbers) to contractors that contractors would re-supply in their reports. We suggest this because AID foreign service rotate and civil service staff move on, often in the middle of a contract they initiate. Since the contractor is the constant in the situation, new AID staff replacements will not be obliged to search the files for numbers assigned years before.

In most case, however, contractors are simply required to consolidate and report in one place much of the information that they otherwise have scattered throughout their reports.

The one place where coding should be consolidated for ease of AID staff handling is the inside front cover of the report. While it would be preferable if contractors could be required to submit reports that are bound and with thick-stock paper (most do anyhow), it will be enough if they print all needed coded data in the same format in the same place.

Below are the codes contractors can be required to submit:

CONTRACTOR-SUPPLIED CODES: -- INSIDE-FRONT COVER

1. Title: Full title and all English translations.
2. Author: Names of first three authors: last name, first name, middle initial.
3. Dates: Dates of project, date of report.
4. Designations: (a) Interim report or final report; (b) Whether the report supercedes any other report -- give name and number (if available) of that report; and (c) whether the report is related to any other reports -- give titles.

NOTE: Some of the information here we have said earlier will not be easy for AID staff (particularly nonprofessional staff) to get. However, we would require the information of contractors (if, indeed, the information has the priority that the DIS form would suggest it has) on the basis that it would then be available for easy use -- or even later recapture -- depending on how PVC proceeds with the abstracting/coding problem and whether PVCs wishes later to amend the Form 590-7.

5. Type of Report: As shown on page 10 above, the codes here would distinguish the report as (a) Project Evaluation Summary, (b) Special Evaluation Report, (c) Contractor Report, including Interim and Mid-term Evaluations, (d) Audit Report, (e) Interim Report/Annual Report, (f) Progress Report, (g) Bibliography, (h) Trip Report/End of Tour Report, and Final Report

NOTE: While not mentioned specifically in the foregoing text, these codes would, of course, apply to AID officers reporting on an evaluation or a workshop.

6. Names of Agencies: (a) Name of Grantee/grant evaluated; (b) Name of Contract agency/evaluator; (c) AID contract number -- as noted above, this number has to be supplied in the grant/contract by AID to the contractor; (d) Name of performing organization; and (e) Name of sponsoring organization.

NOTE: PVC should develop a code list of all PVOs and other organizations it works with, and incorporate the codes into the DIS entry form. Contractors could be given their own code numbers for replaying back to PVC in their reports.

7. Names of All Countries: (a) Reported in the document/-evaluation; and (b) included in the contract.

7. Methodology: As shown above on page 13, contractors should provide names and codes for any of the methods that apply to the evaluation activity being reported, whether the field evaluation of a project, a workshop or conference, or a thoughtpiece based on existing reports and data.

This is an instance in which we feel that the DIS form should be modified to ensure uniform capture of methodology. Page 13 shows 14 methods in the areas of (a) Secondary Data, (b) Informal Participation and Discussion, (c) Field Site Visits/Observation, (d) Key Informant Interviews, (d) Sample Surveys, and (e) more Complex Surveys/Experiments or Indepth Field Approaches.

Extremely
B. CONTRACTOR-SUPPLIED ABSTRACTS:

As has been said, we recommend that contractors be required to prepare abstracts as part of their reports.

These abstracts would be based on specific instructions supplied by AID (suggestions below). The abstracts could suffice for the contractors' executive summaries. But in any case, they should be prepared in the same format and inserted into the report on a distinctively colored page as the first page after the title page.

In assisting contractors' preparation, PVC should provide either the full DIS abstracting instructions or the abbreviated version shown as the second and third pages of Appendix C. The abbreviated version gives a basic introduction to the contents and writing style desired for the abstracts.

In addition, PVC should offer two or three sample abstracts for the contractors to emulate.

We recommend the following four-paragraph format as guidelines for the abstracts.

CONTRACTOR-SUPPLIED ABSTRACTS

For each project they undertake, contractors should be given a code book, essentially a reference book that gives them the definitions of all required information elements and lists the codes associated with any element.

As mentioned earlier, in dropping the rigid Log Frame structure of the abstracts for evaluation studies, we tried to devise a workable format that would cover studies and non-studies alike.

The follow text summarizes the information needed for the four paragraphs that would comprise such an abstract.

1. First Paragraph (DESIGN): This first paragraph (of no more than four lines) should tell the reader the "who, what, where, when, why" of the project. To do this, we have defined in the memo shown as Appendix C (pp.10-12), the meanings of eight separate information items:

- o Information activity
- o Temporal limits
- o Implementing agency acronym
- o Generic type of programming
- o Project purpose (Log Frame, if applicable)
- o Target beneficiaries: number and type
- o Location and probable reach of project
- o Country/countries included in evaluation or exercise.

2. Second Paragraph (RESULTS): This paragraph presents the basic findings of the project, the decisions or resolutions of the conferences, the conclusions of the literature search.

- o Field Study/Project: For a field project, the second paragraph would describe success/failure in achieving, say, enhancements of pregnant women's information, attitudes, behavior related to weaning practices; changes in children's morbidity or mortality rates; increases in employment, wages, and productivity; installation of clean water sources, latrine pits; formation of new village cooperatives or inter-village councils, and construction of new schools; improvement of diets, number of kitchen gardens, participants in feeding programs, children's weights, mothers retention rates in clinic programs.

- o Deliberation: If the project is a workshop, seminar or conference, the results summarized here might be a set of recommendations for future study; a list of potential cooperative activities for PVOs; a design of a methodology for a systems approach to the study of PVOs; the procedures for measuring PVO impacts and guidelines for field measurement in nutrition; a resolution outlining needed professional improvements in PVO project evaluation and monitoring activities.
- o Secondary Data: If the project being abstracted is a position paper or thought-piece based on a content analysis or other secondary data, the outcomes summarized here in Para 2 might include: a description of the variables recommended for inclusion in studies of small-scale enterprises; a critique of the failings of past research and evaluation in the health sector; a presentation of recommendations for improving the inter-PVO and inter-cultural comparability of programming approaches to design, implementation, and evaluation.

The number and variety of different projects is endless. So is the types of purpose-level outcomes. The above ideas are only illustrative, to suggest the kind of guidance that PVC would have to give contractors if it is decided to give the abstracting responsibility to contractors.

We hope it is apparent that the abstracting assignment does not change with a change from an evaluation study to a non-study.

3. Third Paragraph (IMPLEMENTATION): This is "how" the activity was carried out, and toward what specific objectives. This amounts to a two-part paragraph which is an expansion of the "type of programming" referenced generically in the first paragraph.

- c What was attempted: What did the project try to do? What were the project's original intentions? What was the specific objective of the project (or the workshop or literature search), and what were related sub-objectives.
- o How was the activity undertaken: How did the project try to do it? This is the appearance of the project in the field -- the different activities which give the project its shape in the field or the nature of the workshop or the literature search.

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For example, if this were a small-scale enterprise project, the second paragraph would inform the reader that the project tried to increase employment in a local neighborhood; and to do so, it (a) identified specific enterprises a priori for assistance; (b) who were trained in financial management; (c) and given loans for various purposes; (e) the loan repayment rate was high, as a strong debt-recovery program was effected; and (e) the project attained high neighborhood identification.

This paragraph should normally be brief, with proportionately more attention given to Paras. 2 (results) and 4 (lessons learned).

We are, at least for the purposes of abstracting, most concerned about the results of the project or other activity. Or, our emphasis is more on what happened -- what was the result -- than on the means that produced the result. While implementation activities are important, our emphasis is more on purpose outcomes than on outputs.

Contractors tend naturally to describe at length what they do. After all, in the field the activities that go into putting a project on the ground and then breathing life into it until it finally takes off are truly memorable experiences. As part of this feeling, some contractors may find the abstract sequence illogical, thinking that Para 3 (implementation) should precede Para 2 (results).

We raise these tangential points only to indicate that PVC instructions to contractors have to be explicit about the priorities and the content of each paragraph.

In particular, contractors might have some difficulty with the necessary instruction that Para 3 be cut or eliminated, if necessary, if there is much to describe about results -- for example, that several unexpected effects were observed, or various unplanned negative consequences were revealed. In such cases, Para 2 might overtake Para 3 totally.

4. Fourth Paragraph (LESSONS LEARNED): As seen earlier on page 9, we provided a list (which owes much to PVC's existing guidelines for Annual Reports) of lessons learned in projects -- e.g., institution building, replicability, sustainability, cost-effectiveness, spread effects, local participation.

We won't repeat the list. But we will say that this, too, is a situation in which contractors should be given illustrative guidance in responding to these criteria in their abstracts.

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Finally, we recommend that PVC use the content of these four paragraphs (or any other suitable material) as a basis for writing a set of CONTRACTOR REPORTING REQUIREMENTS (CRR).

The CRR should be standardized for all types of PVC reports, and contractor obligated to report on the criteria described in the CRR. Uniform reporting criteria have obvious advantages for PVC staff who often work comparatively. In addition, uniform CRR will produce more uniform abstracts, which will assist the processing and the searching of PVC staff as well as of DIS users in AID/W and USAID missions.

Of course, each individual project or case presents its own unique features. And, no doubt, CRRs would be tailored to specific cases. Nonetheless, as shown above, uniform criteria can be made to apply comfortably to studies, workshops, trip reports, position papers.

With its declining staff resources, numerically and qualitatively, PVC is going to need all of the responsible help it can get to keep up with the traffic of studies and avoid future backlogs.

We believe the best answer (in the present circumstances) lies in adopting uniform standards and passing the assignment onto the contractor, at no additional cost.

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APPENDIX A

Check this

REPORTS ABSTRACTED AND CODED FOR DIS ENTRY
(December 1985)

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BIBLIOGRAPHY OF FVA/PVC EVALUATION DOCUMENTS
FY1983-FY1985*

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ADRA Tanzania. Health. Evaluation Report: Seventh-Day Adventist World Service Tanzania: AID Matching Grant Program in Community Health and Nutrition. By John LeSar and Nicholas Danforth, Management Sciences for Health. December 1983.

PN-HAL-009 AITEC Brazil. Small Enterprise. Ventures in the Informal Sector, and How They Worked Out in Brazil. Evaluation Special Study No. 12. By Judith Tendler. March 1983.

PD-AAC-408 CODEL Cameroon, Dominican Republic, Ecuador, Jamaica, Malawi, Peru, Togo, Zambia. Coordination in Development. Mid-Term Evaluation of CODEL, Inc. By Terry Alliband. January 1984

CODEL Cameroon, Dominican Republic, Ecuador, Jamaica, Malawi, Peru, Togo, Zambia. Coordination in Development. Final Report of CODEL, Inc. By CODEL, Inc. November 1985.

FPP Indonesia and Philippines. Small Enterprise. Small Enterprise Development and the Private Voluntary Agency. First annual review by Foster Parent Plan, Glenn Rogers, et al. November 1985.

IEF Honduras. Health. International Eye Foundation Primary Eye Care Delivery and Training Program in Honduras: Evaluation Report. By James Becht and Luis Fiqueroa, Management Sciences for Health. January 1984.

IEF Malawi. Health. Evaluation Report (first) : International Eye Foundation Malawi: AID Matching Grant Program in Blindness Prevention and Treatment. By Nicholas Danforth and James Sprague, Management Sciences for Health. October 1984.

IEF Malawi. Health. Evaluation Report: (second) International Eye Foundation Malawi: AID Matching Grant Program in Blindness Prevention and Treatment. By Nicholas Danforth and James Sprague, Management Sciences for Health. March 1985.

*Excluding cooperatives and AMIDEAST.

- IIDI Honduras. Small Enterprise. Impact Evaluation: Institute for International Development, Inc./Instituto de Desarrollo Hondureno. By Peter H. Fraser and Bruce A. Tippet. 1982.
- IIDI
IVS Costa Rica. Private Voluntary Organizations and Institutional Development: Lessons from International Voluntary Services, Inc. and The Institute for International Development, Inc. By Craig Olson, et al. January, 1985.
- IIRR Philippines. International Institute of Rural Reconstruction: Trip Report/Evaluation, April 30-May 7, 1983. FVA/PVC. By Ross E. Bigelow. August 1983.
- LWR India. Lutheran World Relief. Evaluation of Lutheran World Relief Projects in India. By Terry Alliband. January 1983.
- MfM/FHF Honduras. Health. Evaluation Report: Meals for Millions/Freedom from Hunger Foundation Honduras: Applied Nutrition Program. By James Becht and Reinaldo Grueso, Management Sciences for Health. January 1984.
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- OICI Lesotho. Small Enterprise. The Entrepreneurship Training Program of Lesotho Opportunities Industrialization Center: An Evaluation of its Impact. By Robert W. Hunt. June 1983.
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- SAWSO Pakistan. Health. Evaluation Report: Salvation Army World Service Office. By Management Sciences for Health, Nicholas Danforth and Andrew Haynal, April 1985.
- USFIS Bangladesh, Kenya, Rwanda. United States Foundation for International Scouting. FVA/PVC. Evaluation of USFIS/Boy Scouts of America/AID Matching Grant. By Richard L. Duncan. April 1985.

- WI Worldwide. Mid-Term Evaluation: Winrock International Assistance to PVOs in Animal Agriculture. Matching Grant No. PDC-0182-G-SS-1086-00. Tom Wilson, John Nystuen and Ike Hatchimonji. March 1985.
- WRC Philippines and Sri Lanka. Building Development Support Organizations: An Evaluation of an AID Management Services Grant to World Relief Corporation. By James M. Pines. August 1983.
- WVRO Indonesia. World Vision Relief Organization. Compassionate Professionalism: A Challenge for World Vision. (An Evaluation Report). By James M. Pines. Late 1982.
- * * * * *
- General Worldwide. A Guide to AID-Peace Corps-PVO Collaborative Programming. By A.I.D. Office of Private and Voluntary Cooperation and U.S. Peace Corps Office of Training and Program Support. August 1984
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- General Worldwide. Health. Four PVO Programs in Health and Nutrition: Interim Summary Evaluation Report. By Management Sciences for Health. March 1984.
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- General Worldwide. The Management Needs of Private Voluntary Organizations. By C. Stark Biddle. Prepared under contract PDC-0250-0-00-4035-00. May 1984.
- General Worldwide. Small Enterprise. The Evaluation of Small Enterprise Programs and Projects: Issues in Business and Community Development, Evaluation Special Study No. 13. By Robert W. Hunt. June 1983.
- General Worldwide. Small Enterprise. A Systems Approach for the Design and Evaluation of PVO Small Enterprise Development Projects: Report of a PVO Working Group. By Cheryl A. Lassen, Partnership for Productivity/International. August 1984.
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- General Worldwide. Small Enterprise. Searching for Benefits. By Peter Kilby and David Z'Mura. June 1985.
- General Worldwide. Evaluation. Turning Private Volunatry Organizations into Development Agencies: Questions for Evaluation. AID Program Evaluation Discussion Paper No. 12. FVA/PVC. Judith Tendler. April 1982

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APPENDIX B

Title/Subtitle/Translated Title

Personal Authors (Maximum 3)

Performing Organizations

Sponsoring Organizations

Report Date

7. Number of Pages

Supplementary Notes

Abstract (250 word limit)

Descriptors

Identifiers

Contributing Bureau
(AID use only)

AFR
ASIA
FVA *17C*

LAC
NE
PPC

Contract/Grant Number

13. AID Project/S... Object...

Distribution Restrictions
Unrestricted
AID Only

15. Availability

Document Disposition (DHF use Only)
DOCRD INV Duplicate

17. Today's Date

AFRICA, ASIA, LATIN AMERICAEXTENDING AGRICULTURAL, FAMILY HEALTH,
AND NUTRITIONAL DEVELOPMENT PROGRAMS TO
TARGET COMMUNITIES FROM EXISTING SAWS INSTITUTIONS

 Date: November 1985
 Author: Adventist Development and Relief Agency International
 (ADRA/I)
 Methods: Project reports, correspondence, staff interviews
 One-month site observations; sample surveys (N=74) and
 indepth interviews (N=20) with clients; interviews with
 USAID officials, PFP officials, project staff; project
 records.
 Type: Final Evaluation
 Pages: 215 (including appendices)
 Related: None
 LogFrame: Purpose

ADRA/I evaluates the final three-year results of 21 of its
 community-based health and agriculturally-related projects in 14
 countries in Africa, Asia, and Latin America.

ADRA/I defined local needs within a given radius of ADRA institu-
 tions, and used this network of health and educational institutions
 to assist community interventions in maternal-child health and
 nutrition, agriculture, environmental health, and agro-business.
 Projects included vegetable production, well maintenance, poultry
 husbandry, health care, and infant nutrition. For any project,
 ADRA/I tried to create: (1) a self-reliant community health
 committee; (2) trained indigenous health workers; and (3) a model
 for increasing protein consumption and agricultural income.

ADRA/I's self-evaluation of purpose-level achievements rests mostly
 on quantitative measures of project efficiency in involving institu-
 tions or in reaching target groups with project services/benefits.
 For example, while fewer countries (85% of target) and health
 institutions (49%) than planned became involved in project health
 activities, many more communities (548%) were involved than targeted
 over all countries. Each of the 21 projects is described by its
 purpose, activities, participants, and evidential impact. ADRA/I
 concludes that its projects were consistent with designs and the
 interventions were essential, reliable, and practical. Impacts on
 ADRA/I were an improved capacity to integrate and manage development
 activities, and more effectiveness in rendering technical assistance
 through reorganized financial management and planning activities.

Lessons learned: ADRA/I feels the grant strengthened the capacity
 of local institutions and the SAWS infrastructure to carry out
 development projects and develop community leadership.

WORLDWIDEPRIVATE VOLUNTARY ORGANIZATIONS
AND INSTITUTIONAL DEVELOPMENT

[Lessons from International Voluntary Services, Inc. (IVS) and
The Institute for International Development, Inc. (IIDI)]

Date: January 1985
Author: Craig Olson (Development Alternatives, Inc. (DAI) and
Peter Doan (Cornell University), et al.
Methods: Site observations; field testing of methodology; institu-
tional records and secondary data analysis; analytic
workshops.
Pages: 72 pages (plus appendices)
Related: A later workshop critiqued this report. TITLE
IS.....
Type: DK how to classify

Reports a DAI-Cornell project to help PVO to increase the effective-
ness of development organizations in LDCs. The project included
field tests at IVS projects in Ecuador, Bangladesh, and Botswana and
at an IIDI site in Costa Rica.

The objective was to (1) field test indicators for assessing
institutional effectiveness; and (2) assess how PVO assistance
improves such effectiveness. The approach posited a relationship
between Institutional Effectiveness and PVO Strategy Variables and
Environmental Variables. The report details the components of all
variables. For example, Effectiveness has two parts: Institutional
Development and Development Impact. Institutional Development is
made up of Organizational Capacity-Building; Organizational Link-
ages; and Common Categories. Some 34 indicators emerged as relevant
for these three categories (e.g., resources, delivery, personnel).

The number of cases in the study is too small to yield conclusions.
But, the DAI-Cornell indicators are thought useful for identifying
strengths/weaknesses of a wide range of indigenous organizations.
However, the study did not find the data to measure the impact of
the PVOs' work. While baseline and quantitative data were lacking,
certain qualitative data gave useful insights into impact measure-
ment. On other variables, the importance of PVO Strategy and
Environmental Variables differs between the two PVOs.

Lessons learned: PVOs should not assign staff to perform tasks
rather than to teach or advise others. The performer model trades
short-term gains for long-term losses. The design of an institu-
tional development intervention must be based on a diagnosis of the
strengths and weaknesses of the institution. The indicators here
should prove useful in this process. Further validation is needed.

MALAWIINTERNATIONAL EYE FOUNDATION

Evaluates the late-term achievements of a 3-year IEF Blindness Prevention Program (BBP) to implement primary eye-care delivery and training in 13 central and district hospitals in Southern and Central Malawi.

Measuring Purpose-level achievements (thus, cost-effectiveness) was impressionistic, as a Purpose or indicators were not specified. The project met 4 of 8 Output targets. Notably, 180,000 patients were seen and more than 7,000 operations performed.

Despite these successes, IEF was not involved in MOH long-term planning or decisions. Without MOH involvement and GOM commitment to expand the BPP, it will need expatriate support indefinitely. In the long run, the BPP's expatriate-based, surgery-intensive strategy will not reach the majority of the blind in Malawi. A major obstacle to sustainable local eye-care institutions has been MOH reluctance to provide counterparts and to develop plans for improving the BPP, for training and supporting new ophthalmologists, or for integrating primary eye care into PHC programming.

Lessons learned: (1) Better AID monitoring is necessary to keep projects on-course. (2) Three years is insufficient for institutionalizing a national eye-care program, which may take a decade to be independent of expatriates. (3) The question remains whether primary eye care can be introduced before secondary and tertiary programs. (4) Planning must be comprehensive and specific; unless remedied, IEF's movement toward the long-term Goal of reducing preventive and curative blindness can only be estimated, as project impact has not been documented, impact measures are not available, and no system is yet in place to measure future impact.

HONDURAS

MEALS FOR MILLIONS/FREEDOM FROM HUNGER FOUNDATION

Evaluates Purpose and Goal impacts of MFM/FFH's applied nutrition program (ANP) for strengthening rural health services in order to reduce malnutrition in nine villages (4,000 residents) served by one Government of Honduras (GON) PHC in the central highlands.

Overall, the evaluators see the ANP as "very positive and exciting" -- well on its way to achieving its Purpose and Goal; a vital catalyst which, with few resources, has identified itself locally and mobilized community, GOH, and NGO resources.

However, impacts are uncertain because of inconsistent and unspecified Goal/Purpose indicators. For example, ANP's impact on mothers' nutritional status or on child morbidity and mortality is not known because of no data collection. However, women's prenatal and postpartum clinic visits doubled and tripled, respectively. Such exposure seems to increase their interest in: improved child care, feeding practices, immunization, and clinic-use for curative purposes. Also, the ANP has reduced the prevalence of 2nd- and 3rd degree malnutrition by 24%, although impact is not uniform in all villages. Rather, nutritional status seems to improve most often in the presence of water supply, sanitation, supplementary feeding, and health and nutrition education.

Despite unclear Purpose-level indicators of community organization and self-help agric. projects, which made it difficult to gauge ANP success in these areas, the project has reached 74% of the 0-5 children (with development clinics) and 85% of the pregnant women (with food rations). The ANP has also introduced many technological innovations -- agric. loan funds, family-size silos, PHC procedures, home improvements, community-based planning, etc. Thus, despite measurement problems, "the level and mix of inputs is justifiable and the results to-date are impressive."

BOLIVIAPROJECT CONCERN INTERNATIONAL: PHC

February-March 1984 Evaluation of interim achievements of 3-year PCI Primary Health Care (PHC) project to extend a system of PHC services to some 385,000 rural residents in the Ururu region of Bolivia.

PCI has been "highly successful" in integrating its staff and resources" within the government. And it has been a respected catalyst in improving MOH staff attitudes and relationships and in stimulating non-project health service use in the region. The PHC system is an existing MOH strategy which PCI and MOH are jointly extending via "regionalization": geographic decentralization of services and use of paramedicals and community health workers (CHW). The PHC services are made compatible with local cultural norms.

Purpose-level results have been encouraging: (1) increased access to services -- 4 new health posts, 23 CHWs; (2) increased service utilization -- overall, a two-year gain of 59%, with greatest gains occurring where intervention was most concentrated; (3) new community health activities -- although records were poor, these included gardens, latrines, irrigation; and (4) improved service quality -- through training (15 birth attendants and 29 auxiliary nurses), equipment, supplies, medicines. A particular success is the medical drug supply system which serves 82% of all regional rural health facilities.

Project problems have been (1) weak data collection on effectiveness; (2) poor communication between field and HQ offices, with field staff citing inadequate and delayed technical support; and (3) MOH delays in providing staff -- which has derailed planned implementation by two years.

HAITI, HONDURAS, TANZANIAFOUR PVO PROGRAMS IN HEALTH AND NUTRITION

Interim evaluation of MFM/FFH and SAWS health and nutrition programs in Haiti, Honduras, and Tanzania. The common objective of the 4 programs is to strengthen the capacity and capability of health systems to deliver modern services while strengthening the capacity and aptitude of communities to absorb new services. Three programs are horizontal (integrated training in health, nutrition, agriculture, family planning and sanitation) and one vertical (eye disease).

Although hard data were often not available, the evaluators conclude that all PVOs are providing very useful, innovative health and nutrition services, often in underserved areas. Most of their planned Outputs are being met or exceeded; and two have improved children's nutritional status in their communities and two have trained health workers. All have introduced health and nutrition methods (ORT, contraception) to their communities, and all are trying to reach poor and remote families. In sum, PVOs perform useful health services, particularly where public services do not go.

However, the PVOs are weak in management and in data-basing: they (1) ignore institution-building and sustainability objectives; (2) do not document findings, seeing projects as ends not as means for learning or replication; (3) do not monitor program activities or costs, making it difficult to measure impact or cost-effectiveness.

For the evaluators, the PVO's lack of trained staff is the greatest constraint on health management and training. They recommend technical assistance and in-country training to improve staff skills in program and data management. For AID, they say that AID/W and USAIDs must better clarify their responsibilities, and give PVOs adequate time to plan their activities and realistic objectives.

THE COST-EFFECTIVENESS ANALYSIS MANUAL

 Date: May 1985
 Author: Robert R. Nathan Associates, Inc.
 Methods: Records and documentation.
 Type: DK - How-to manual
 Pages: 50 (plus bibliography)
 Related: None
 LogFrame: NA

 A how-to manual for, especially, PVO field staff in assessing the cost-effectiveness (economic viability) of their projects at different stages of design, monitoring, and evaluation. Its purpose is to help PVOs make better decisions in spending project funds.

Cost-effectiveness analysis compares a project's costs with its results, or benefits, to answer questions about cost per beneficiary, costs of comparative approaches, project feasibility, profitability. Cost questions vary by project stage: (1) design -- how can project cost be minimized, how much revenue will the project generate; (2) monitoring -- are project costs more or less than planned, where can project operations be improved; (3) evaluation -- is the project profitable, will it continue after funding stops.

The kinds of information needed for the project budget are: funding sources, investment costs, annualized value of investments, fixed and variable operating costs. Benefit costs are more difficult to obtain and are monetary (sold/traded in the market) and non-monetary. The latter have no easily estimable money value, and are best measured by "per unit measure of output" (e.g., number of children treated, number of laborers trained). Social benefits are not addressed by the above cost measurements. Important concepts affecting cost decisions are the opportunity costs associated with funds, the time value of money, and inflation.

The manual presents three measures of cost-effectiveness: (1) costs compared with community resources; (2) ratio of net benefits to costs; and (3) ratio of per unit costs. Each measure is described by use, information needs, method (calculation), and interpretation. An example is given of its use.

WORLDWIDE

COORDINATION IN DEVELOPMENT, INC. (CODEL)
REPORT OF ACCOMPLISHMENTS: JULY 1, 1982 - JUNE 30, 1985

Date: November 1985
Author: Bowd Lowry
Methods: Project status reports to the central office from
from projects in the field.
Type: Final Report
Pages: 47 plus appendices
Related: GET TITLE:.....
A mid-term special evaluation on CODEL was done.
LogFrame: Purpose

Evaluates final results of a 1982-85 matching grant to CODEL for its support to local groups worldwide -- improving collaboration, institutions, and awareness of socio-economic and environmental issues.

CODEL is a consortium of 40 U.S.-based Christian organizations, which asserts it has assisted hundreds of thousands of the world's poorest in their self-initiated, grass-roots activities. CODEL responds to local requests for technical and funding assistance. During this grant, CODEL supported 137 projects in 42 countries, ranging from \$3,350 for educational equipment in India to \$270,352 for national women's groups in the Dominican Republic. Most projects have an agricultural component; training; are water-related if community-oriented; and reach a larger area beyond the village.

In Africa, CODEL assisted 52 projects through 49 institutions in 18 countries. In Asia, of 53 projects, over half were in India and the Philippines, and six countries accounted for half of the \$5.6 million distributed. In Latin America, CODEL granted \$2.6 million to 31 projects, worth \$18.7 million. A total of 261 site visits for monitoring/evaluation were made worldwide during the grant period.

Projects were described for each region in terms of institution-building, sustainability, technology transfer, etc. For example, in institution-building in Latin America, CODEL funded 15 insitution-strengthening projects of the Guatamalan Association of Community Health Services (ASEGSA), which now has a membership of 70 agencies and reaches 3,000,000 rural poor with low-cost primary health care. An example of leadership assistance is the Community Leadership Development Project in the Philippines which develops leadership through several activities -- training, motivation, community organization, networking, and hands-on experience in small projects. The report gives many other examples of CODEL projects, and Appendix E and F present country data sheets which describe each project.

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TANZANIASAWS HEALTH MODEL

Evaluates the early progress of a SAWS primary health care "model" to extend [through Community Health Promoters (CHPs) linked to existing SDA clinics] family health, nutrition, and agricultural education to 25 villages in Northeastern and North Central Tanzania.

At evaluation, the project--delayed one year--had been underway only 9 months. The evaluators' conclude that the project will not reach its "ambitious" Goal of reducing child mortality and morbidity. But it may achieve its Purpose with great improvement in (1) conceptualization of Outputs and means-ends relationships: design of the service model, pre- and mid-service planning, CHPs and SDA-clinic integration; and (2) operations: project management, records management, staff training, supervision, and community participation.

The project's Purpose is sound; its strength is the strategy of basing the model on existing clinic services -- design, management, training, and financing in the post-government period. However, the project has not planned how to achieve a functioning PHC system with integrated CHPs-SDA clinic services in "practical" ways. Community changes in health/nutrition status are unlikely unless CHPs have better training, more health-care skills (ORT, immunization), more SDA-clinic support, and more involved community leaders.

Other findings: (1) community involvement has been minimal; only select "elites" have been involved in designing the local health systems; (2) CHPs' health-education and PHC services could be cost-effective, due to the low cost of adding this village-based service to existing clinic support and supervision; but (3) unless CHPs' cost-effectiveness can be demonstrated to leaders and unless communities are involved in the program, it is unlikely that they will finance or supervise CHPs' work.

2/1

PHILLIPINES, INDONESIAFIRST ANNUAL REPORT OF FOSTER PARENTS PLAN
INCOME GENERATING PROJECT

Date: November, 1985
 Author: Steve Bergen, John Grant, Ken Phillips
 Methods: Personal history; records
 Type: Annual Report
 Pages: 95 (plus appendices)
 Related: None
 LogFrame: Inputs/Outputs

Reviews first year of a three-year matching grant to Foster Parents Plan (PLAN) to develop income generating projects among groups of poor families in Yogyakarta, Indonesia, and Naga and Mindoro, Phillipines -- the initial sites of a worldwide program.

Although the program was slow to start due to the late arrival of the grant and subsequent staff training programs, PLAN is seen as having accomplished much of the baseline preparatory work necessary to a viable, long-term program. New staff were hired; a regional center was started in Bangkok, which in addition to its administrative and purchasing functions, puts out a newsletter and runs staff training workshops; and a roster of regional support mechanism and technical resources has been established. Other objectives, such as the institution of two innovative projects and the use of clients in the evaluation process have not yet been achieved.

The first year is seen as a catalyst which focused attention on issues crucial to the long-term success of the program. In Naga, for example, families used to receiving cash gifts from PLAN did not understand the responsibilities involved in the loan process. Pre-Loan Orientation Training (PLOT) was designed to provide an understanding of credit, effective use of money, and accounting. The Phillipines projects also faced cultural sensitivities, inflation, typhoons, and a volcanic eruption which slowed operations. In Yogyakarta, staff training delayed project implementation six months.

A stronger business orientation is required, geared toward sustained self-sufficiency and away from a paternalistic social work "project implementation," with an emphasis on marketing, products evaluation and the use of technical assistance provided by complimentary U.S. firms. Also, the effectiveness of group vs. individual entrepreneurship should be monitored. PLAN moves into its second year with seven new field offices already open worldwide. Objectives include increased product quality and market viability, stronger networking, and improved evaluation capability.

COMPASSIONATE PROFESSIONALISM:
A CHALLENGE FOR WORLD VISION (WV)

Date: June 1982
 Author: James M. Pines
 Methods: On-site observation, individual and group interviews with project staff, government official, scholars; available records (AID audit report)

Type: Special Evaluation
 Pages: 34
 Related: None (Cites AID audit, circa May 1982)
 LogFrame: Purpose

Evaluates WV's Matching Grant performance against "standards (of) other AID-supported PVOs." Rather than "duplicate" a recent AID audit, this qualitative evaluation builds on it and addresses "more sophisticated program issues...and implications" of WV projects and the Community Leadership Training (COLT) part of the MG.

Author concludes that AID got high return for a modest investment. While one may "quibble" about quality and permanence of some results, WV projects (day-care, feeding, schooling, etc.), "illustrate the advantages of using a PVO to reach and serve poor and inaccessible populations." Another conclusion is that WV must help to improve the balance between community dependence on government and need to develop independently -- e.g., in one village, projects (day-care, skill-training, etc.) created new participation, hope and confidence; but community self-reliance is new and GOP support is weak and will disappear if WV departs. Thus, WV must adapt to GPO actions and help villages develop capability for self-government and for mobilization of community self-help income.

Other points: (1) AID expected too much from COLT. Its approach alone cannot sustain impact. This takes continued government TA and more time. (2) The Barangay scholar training program is good, but scholars by themselves without infrastructural support in villages do not make health or nutrition programs. (3) WV's approach minimizes possible intrusion of church/state issues that would violate AID grant. COLT works through local institutions and relies on government. (4) Despite "inadequacies," WV data systems "compare favorably" to other PVOs, although knowing project impact is "hampered" by "absence of an adequate" evaluation system. However, improving that system is less important now than improving feedback and response to evaluation findings.

WORLDWIDEREPORT ON THE WORKSHOP ON PRIVATE VOLUNTARY ORGANIZATIONS
AND SMALL-SCALE ENTERPRISE DEVELOPMENT

 Date: July 1985
 Author: Ross E. Bigelow
 Methods: Participant observation in workshop
 Type: DK (Workshop summary)
 Pages: 17 plus appendices
 Related: None
 LogFrame: Purpose

Reports 3-day workshop on PVO role in small-scale enterprise (SSE) development: Reviews SSE assessments of benefits and lessons learned; and assesses PVOs effectiveness in SSE projects.

The workshop agreed that SSE benefits should improve business, the local economy, and welfare. The sequence of social and economic benefits was debated, but it was agreed that SSEs are central to efforts against poverty and unemployment in LDCs, and that PVOs are able to run cost-effective SSE projects. Ample credit was cited as critical to SSE survival, but the role of other factors was debated: technical assistance and training, advisory services, public policy, personal attributes, supporting institutions.

Participants had strong opinions on the question of the special contributions PVOs make to SSE development. PVO advantages were being: flexible, trusted, able to work at local level with local collaboration, low-cost, motivated, innovative, risk-taking, non-political, able to bridge to government, able to work extended periods in specific sites. Participants debated these advantages, with some saying that PVOs are highly adaptive risk-takers who made many past mistakes, but (1) learned from experimentation about how to develop sustainable -- effective and efficient -- projects, and (2) adapted PVO policy and management to these lessons. Alternative views were that most PVO staffs are insufficiently trained to handle technical SSE problems and are too small to have more than limited impact on the local economy; that PVOs fail to stress cost factors, and substitute "soft" evaluations of beneficiaries' appreciation for realistic assessments of cost and creation of operational standards.

The workshop included 58 representatives from PVOs, AID, other donors, and specialists. Among their conclusion was that further study is needed of PVO impact on SSE development -- drawing on benefits and broader system concerns.

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THE MANAGEMENT NEEDS OF PRIVATE VOLUNTARY ORGANIZATIONS

Date: May 2, 1984
 Author: C. Stark Biddle
 Methods: Personal interviews w/PVO and AID officers and expert observers; using needs assessment questionnaire.
 Type: DK (don't know how to classify)
 Pages: 56 plus appendices
 Related: None
 LogFrame: Output-level (although a special case)

Identifies PVOs' principal management problems, and presents the ways management-development support can meet current needs.

PVO and AID officials and expert observers identified five basic problems: (1) Institutional planning: PVOs are weak in goal-setting and strategic planning: lacking secure finances, they respond to donors' interests; their work favors flexibility and responsiveness; and CEOs are more experienced in crisis management than planning. (2) Fund raising: PVOs have difficulty managing fund-raising. Their programs may differ from their public image, but they are reluctant to tamper with their source of support. PVOs are ambivalent about professional fund-raisers, suspecting they have different agendas. (3) Financial planning: PVOs must improve financial management; must become financially more analytic. CEOs are not trained in financial planning, and delegate the tasks. (4) Human Resources: staffing has improved, but training and recruiting are weak -- problems of restricted funds. (5) Board Relations: Boards are too involved in daily operations, and slow to grasp transition from relief to development,

PVOs appreciate AID's Management Development Support (MDS) grants as beneficial, flexible, confidential, and responsive. But they question the role of government in MDS, suggesting buffers between AID and PVOs and decentralized services.

Lessons learned: PVOs are maturing organizations and do not need narrow technical assistance. Management assistance should concentrate in the five areas identified in this study.

WORLDWIDEPVO INSTITUTIONAL DEVELOPMENT WORKSHOP

Date: March 1985
 Author: Management Systems International
 Methods: Workshop discussions
 Type: DK
 Pages: 39 including appendices
 Related: Workshop based on report: PVOs and Institutional Development: Lessons from International Voluntary Services, Inc. and the Institute for International Development, Inc.
 LogFrame: Purpose

Summarizes a one-day workshop reviewing the institutional assessment "framework" developed by DAI and Cornell University for PVOs and donors to use to assess (1) local institutional effectiveness in LDCs, and (2) how PVO assistance improves local effectiveness. DAI-Cornell collaborated with 2 PVOs in developing the framework.

The workshop found the framework a useful "checklist" for planning institutional development, but not an analytic framework for assessing effectiveness. So, the framework should not be replicated to other PVOs for ex post facto evaluation or for resource allocation. Rather, PVOs should use it participatorily with local clients in systematizing institutional development plans and processes.

Specifically, the workshop felt that the framework (1) did not address how impact can be sustained, and thus did not show the value of any strategy; (2) lacked a "window from below," thereby missing local viewpoints and some key local actors; (3) did not capture the full range of institutions; (4) took a checklist approach which was overly complex, but lacked key questions and was too prescriptive to capture all critical factors and their dynamic, causal interactions; and (5) saw environment as important for planning and implementation, but failed to explain the importance of environmental factors for institutions' impact on their beneficiaries.

Lesson learned: The DAI-Cornell approach is a model of collaboration. PVO-client collaboration is more important than the framework itself since it builds a sense of ownership and strengthens PVOs' local relationships. The framework is useful for defining the institutional development process. Developing it is a local process and should be integrated into all stages of programming.

WORLDWIDEWORLD RELIEF CORPORATION

Evaluates the final results of WRC's first 3-year grant to "increase the quality of development work undertaken by the network of indigenous and expatriate evangelical church leaders throughout the world."

The project sought to promote long-term effects on local development through enabling grants to local churches assisting them through workshops and other means to engage in development activities and to build links to others involved in development. The project was seen as successful in improving both the activities of local groups (in the Philippines and Thailand), as well as the development attitudes and institutional performance of WRC itself.

Its success and its potential as a model for counterpart development activities derive from: (1) effective management, in part explained by WRC's role as an enabling, not institution-building agency, thus acting as a catalyst without heavy management burdens; (2) an ability to learn quickly from past mistakes and adapt programs accordingly (especially an early misguided approach to workshops and an early failure to emphasize the generation of local funds); (3) its "enablement approach," emphasizing equal-status relationships with counterpart groups -- accepting others' agenda, not using money to force compliance, and cultural sensitivity.

In sum, the evaluator felt that WRC's concern for building a network of evangelical development-support consortia, instead of just funding projects, and its pragmatic willingness to confront its own mistakes produced the beginning of a support network with great potential for development impact. Among lessons learned, an evaluation has multi-purposes: this evaluation was used to help AID better understand church-state problems in different contexts, and to help WRC plan its second grant.

WI ASSISTANCE TO PVOs IN ANIMAL AGRICULTURE

Evaluates mid-term achievements (near the project's end) of WI's grant to develop a technical assistance program to enhance PVO capabilities for promoting more effective animal husbandry to benefit rural people in developing countries worldwide.

No indicators of project Purpose or Outputs are specified. The project may not achieve its Purpose, but has had success in each of its three Output areas. (1) WI has developed a computer data base on LDC animal populations. A 20,000-item data base is on-line, country profiles produced, and newsletters sent to 2,000 PVOs. (2) WI has developed training materials (handbooks, curricula, A/V materials) translated into some users' languages. Workshops have been held in Honduras, Indonesia, and the Philippines for 85 participants. (3) WI has responded to 400-plus PVO requests for TA, and provided assistance in 11 countries, 6 of which were targeted.

Weaknesses are: WI has not adequately promoted the data base, and the annual user rate averages less than 200 inquires. Too, WI staff neither contribute to nor use the data base. Training materials are produced too slowly; and no French materials exist, although Francophone Africa was targeted for TA. And there is little evidence that the Workshops helped participants, since the most knowledgeable local experts were chosen to attend.

Lessons here are that project components must be more clearly conceptualized and well-integrated. WI's data base is an ad-hoc activity, not closely tied to the workshops or to TA. Greater emphasis must be on TA for the project to be more responsive to, and driven by, PVO needs.

WORLDWIDEBOY SCOUTS OF AMERICA

United States Foundation for International Scouting (US/FIS)
and
World Scout Bureau (WSB)

April 8, 1985

By: Richard L. Duncan

Methods: Key Informants, site observations, records

35 pages + appendices

3rd evaluation in a series; others in 1982 (strategy) and 1984
(management)

Project Summary Evaluation? (Final evaluation)

ABSTRACT TEXT

Evaluates the final results of a 1982-85 grant to "improve the quality of life in communities through the active participation of the Scouts in development projects" in 12 countries in Asia, Africa, Latin America, and the Middle East.

In terms of the goal of the AID grant, project results are meager. In terms of its practical objectives, results are mixed but encouraging. The evaluation focused on the Scouts' achievements in creating and strengthening capacities in the communities and groups they aided. The report concludes that there is enough evidence of Scouts' impact on project communities to justify continued AID funding.

Successful projects included income generation, increased community problem-solving ability, development of specific skills (e.g., self-help housing), higher awareness of community potential for action. Disappointments included insufficient follow-up on projects to ensure success; lack of an information system, including evaluation and monitoring, to guide national scouts and WSB decision-making; and few projects were completed and turned over to the community.

Lessons learned: The public image of Scouts acts positively to mobilize community support for self-help development efforts; the Scouts traditional "proficiency badge" approach to non-formal education works well in encouraging community members' performance in other developmental activities; and factors that positively and negatively affect Scout programs include regional support activities, reliance on volunteers, relative independence of the actors in any project, differing perceptions of priorities, diversity of funding sources, national and cultural differences, and other.

AID TO ENTREPRENEURS:
AN EVALUATION OF THE PARTNERSHIP FOR PRODUCTIVITY (PFP) PROJECT
IN UPPER VOLTA

Date: June 1982
Author: Susan Goldmark, Timothy Mooney, Jay Rosengard (DAI)
Methods: One-month site observations; sample surveys (N=74) and
indepth interviews (N=20) with clients; interviews with
USAID officials, PFP officials, project staff; project
records.
Type: Special Evaluation
Pages: 170 (plus appendices)
Related: None
LogFrame: Purpose

Evaluates the first-phase (1977-81) results of PFP small-loans
program to promote small-scale enterprise (SSE) development in the
Eastern region of Upper Volta.

Overall, PFP loans meet a large local demand for commercial credit.
While hard to judge benefits to clients (entrepreneurs' motives are
not always to grow or be self-sustaining) indicators were positive,
and about 50% increased their net worth. Community benefits were
increased access to goods and services and new diversity in the
market, thus increasing consumers' choices and lowering the rate of
price increases. backward economic linkages (purchases made with
PFP loans) increased somewhat, but forward linkages did not, because
most SSE outputs were finished products or personal services. And
the loans did not affect local employment or investment, since loans
were used mostly for working capital or equipment and accessories.

Numerous loans and a 77%-repayment rate (reputed to be 90%) showed
strengths in project administration: 416 loans to 313 clients, for
about \$275,000 versus 40 loans and 80 clients projected. Half the
loans were commercial, 25% to artisans, and 12% for agriculture.
Average loan was \$670, thus serving the smallest entrepreneurs.
Some 80% of the borrowers had never had credit; and 10% were women.
The project has three main problems: (1) Weak supervision, evalua-
tion, monitoring. (2) High administrative costs -- about \$1200 per
loan (twice the average loan size); however, transferring the program
to Voltaics will cut these costs to \$217 per loan. (3) PFP interest
rates (10-15%) are too low to enable project self-sufficiency.

Lessons learned: Small loans can positively affect a community's
business environment. But proposals for future activities are
underbudgeted, understaffed, and could destroy the program.

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WORLDWIDESUMMARY EVALUATION REPORT:
EIGHT PVO PROJECTS IN HEALTH AND NUTRITION

 Date March 1985
 Author: Management Sciences for Health
 Methods: Secondary data analysis
 Pages: 55 pages (including appendices)
 Related: 2nd evaluation in a series
 Type: Interim evaluation

ABSTRACT TEXT

Summarizes findings from eight 1983-84 evaluation reports on PVO projects to provide health and nutrition services in LDCs.

Generally speaking, in terms of their project purposes, PVOs provide effective health services, reaching poor families in areas often underserved by governments. They concentrate on small target areas, usually providing village-level services. In doing so, they often have close cultural and spiritual ties to the community, and may even enjoy greater public support than government institutions. PVOs differ in their approach to host governments. Some try to involve the government as well as indigenous PVOs. Others seek no more than formal accords with host governments. This latter approach precludes building real commitments from local and national governments.

Although the projects were relatively new at the time, they uniformly showed strong intermediate results -- evidenced by declining malnutrition and more effective screening of eye diseases at the primary level of preventive eye health care. The eight projects all met or exceeded planned outputs in making health and nutrition services more available to target populations. The training components across projects also met their planned objectives. Consistent and notable PVO weaknesses are in the area of information: (1) PVOs do not collect baseline data; (2) their evaluation and monitoring systems, if present, are poorly conceptualized -- lacking in both impact and cost-effectiveness measures; and (3) they do not document their activities and results in ways leading to replication of their methods.

Some lessons learned about evaluation strategy: two-person teams, composed of an evaluation specialist and a technical specialist, working with a PVO representative(s) are effective; and specialists in financial analysis and information systems would augment the evaluation effort, leading to better, more comparable data for AID and better MIS systems for PVOs.

ABSTRACT: PAKISTAN

SALVATION ARMY WORLD SERVICE OFFICE (SAWSO):

Evaluates final results of SAWSO's Primary Health Care Project to change curative, dispensary-based services into preventive, village-outreach services among 26,000 rural poor in 4 areas of Pakistan's Punjab.

The evaluators praise the project for personal dedication and valuable experiences gained -- which deserve wide dissemination. But evaluating success was hampered by imprecise, overlapping objectives (e.g., Goal and Purpose were the same), confused means and ends, inadequate baseline measures of local health conditions, and weak criteria for village selection. Other problems were: too many expatriate staff and few Pakistanis; staff tended not to live in or near their villages; training and supervision were inadequate; communication and cooperation with the MOH were poor (jeopardizing MOH likelihood of adopting the project model); Village Health Workers' results were not documented; and AID project monitoring was negligible.

On specific Outputs, the project failed to meet its targets in providing ante-natal care, child immunization, TB treatment, preventive health education, and treatment for handicapped children.

Lessons here are that, in the absence of clear purposes, rigorous training, and consistent management, local staff will direct projects along familiar and personally preferred lines. Here, the Nurse-in-Charge largely shaped the project. To the extent that she did not share the project goal and orientation toward preventive medicine, the project did not succeed. While the evaluators would continue AID funding, they recommend that the project not be extended to other sites until SAWSO firmly controls management and training.

THE ENTREPRENEURIAL TRAINING PROGRAM
OF THE LESOTHO OPPORTUNITIES INDUSTRIALIZATION CENTER (LOIC):
AN EVALUATION OF ITS IMPACT

Date: June 1983
Author: Robert W. Hunt
Methods: Site observations; interviews with LOIC officials,
project staff, public officials, other national
informants, PVO informants; sample survey of 25 LOIC
graduates; project records and historical documents.
Type: Final Evaluation
Pages: 60 (including appendices)
Related: None
LogFrame: Purpose

Evaluates final results of LOIC entrepreneurial training program for
owners of small firms in Lesotho.

Overall, LOIC has done an excellent job in providing entrepreneurial training to small business owners. The training is well-conceived, effective, practical, and serving the GOL's interest in building middle-management cadres. Students see their training as beneficial, and show high satisfaction with almost all components: courses are stimulating, materials relevant, and faculty competent. Completion of the courses leads to an overall improvement in the graduate's business practices, especially in financial management. About 80% of some early trainees report increased profits after training; and there is also evidence of expanded business activity. The project is well-institutionalized and its advisory committee links trainees to an influential network of businessmen.

However, the training does not necessarily increase local jobs, since the target group of owners operate businesses with few employees. But how LOIC training serves larger development needs is difficult to gauge. The lack of follow-up activities, including job-placement assistance, precludes the development of longitudinal data. Moreover, as training for owners of small groceries and cafes, the project has not increased economic linkages in local sectors. Rather, the focus on a limited number of business activities tends to heat-up the competitive environment in those sectors. Larger social purposes might be served by diversifying clients to include manufacturing industries.

Lessons learned: Entrepreneurial training meets a clearly perceived need. Like credit, a strong hypothesis is that training is a key determinant to entrepreneurial development.

THAILAND

MEALS FOR MILLIONS

Date: March 1985
 Author: James M. Pines and James N. Becht
 Methods: Site observations; interviews w/PVO officers, GOT officials, other Thai informants, and village beneficiaries; program records.
 Type: Special Evaluation
 Pages: 60 plus appendices
 Related: None
 LogFrame: Purpose

Evaluates final results of MFM's 1982-84 applied nutrition program (ANP) for children ages 0-5 and for pregnant and lactating women in two rural districts of Lampang Province in Thailand.

The evaluators judge that with improvements Thailand ANP could be an outstanding model, replicable under similiar conditions but (1) perhaps not sustainable without an outside PVO, and (2) too costly in its present form (about \$100 per beneficiary). The ANP generally met its purpose-level objectives of carrying ANP information to the population and supporting local development projects linked to nutrition. For example, ANP training (in nutrition education, participatory techniques, and food production) reached numerous groups and sensitized the community and government to nutrition. As a trainer of trainers, ANP focused on strengthening the GOT service system. Thus ANP's overall effects are likely to endure.

There were many examples of the project's production efficiency. Increases in kitchen gardens, fish ponds, egg production, and duck-raising made available 58,000 new calories and 10,300 new grams of protein to the project area each day. But the increases were spread thinly over the area's 66,000 people and did not necessarily result in improved consumption by children. While the evaluators conclude that ANP did contribute to reduced child malnutrition, they saw project consumption effectiveness as weakened by the failure to channel new food production to the target population, and they score ANP for being insufficiently analytic.

Lessons learned: MFM improved local health development efforts by increasing direct attention to nutrition in PHC. Sensitizing the community and government together and imparting a sense of ownership are likely to strengthen the project's institutionalization.

INDIA

EVALUATION OF LUTHERAN WORLD RELIEF PROJECTS

Date: November 1985

Author: Terry Alliband

Methods: Site observations; interviews w/PVO officers, GOI officials, other Indian informants, and village beneficiaries; program records.

Type: Special Evaluation

Pages: 90 plus appendices

Related: None

LogFrame: Purpose

Evaluates final results of a 1982-85 matching grant to CODEL (Coordination in Development, Inc.) for its non-operational support to local groups worldwide -- improving local collaboration, local institutions, and awareness of the interplay of the environment and socio-economics.

CODEL is a consortium of 40 U.S -based Christian-related organizations, which collaborate to support sound development principles in LDCs. CODEL's self assessment is that it has assisted hundreds of thousands of the world's poorest in their self-initiated grass-roots activities.. That is, CODEL responds to local (village- or district-level) requests for technical and funding assistance. During this grant, CODEL supported 137 projects in 42 countries, ranging from \$3,350 for educational equipment in India to \$270,352 for national women's groups in the Dominican Republic. A total of 261 site visits for monitoring/evaluation were made worldwide during the grant period.

In Africa, CODEL assisted 52 projects through 49 institutions in 18 countries. In Asia, of the 53 projects, over half were in the Philippines and India, and six countries accounted for half of the \$5.6 million distributed. In Latin America, Most of CODEL projects reach out to a larger geo-political-ethnic area than the village. Thus, the size and scope of the institution involved affects the degree of local participation at any level of project planning, implementation, and decision-making. Thus, the larger the organization the harder to involved local beneficiaries in project planning. However, the large organization has other advantages in its work, e.g., strong infrastructure.

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION (IIRR)

 Date: August 1983
 Author: Ross E. Bigelow
 Methods: Site observations, interviews with project officials
 Type: Trip Report
 Pages: 25 including attached letter
 Related: None
 LogFrame: Purpose

Assesses IIRR activities in leadership training, international extension, and field operations, research and evaluation.

At the time, IIRR had an annual budget of about \$1.3 million, which was small for its international mission and staff. It needed a healthier financial base. About half of its funds were from private donors, one-third from AID, and the rest from training fees, etc. Given limited finances, IIRR executive devoted much time to fund-raising, thus depriving other pursuits.

Funds supported three main activities: (1) Education/training was outstanding; IIRR demonstrated a particular strength in leadership training. Some 585 participants from 37 countries had been trained, and the demand far exceeded IIRR capacity. (2) International extension/outreach to affiliated movements was underfunded: In 1981 only 14% of funds went to extension efforts in other countries which, the evaluator concludes, was insufficient to meet the needs of sister movements. (3) Field operations, research and evaluation accounted for half of IIRR's expenditures, but only a small portion was for research and evaluation. Field operations alone was the most important IIRR activity in terms of funds, staff, time, energy. Such projects (e.g., cooperatives, health activities, stock-feed production) put IIRR into competition with its affiliates.

The evaluator concludes that so many resources went into field operations, that IIRR was unable to fulfill research and extension functions. So, IIRR should redistribute its limited resources to devote more to international extension, research, and training and less to field operations, and thus serve international development more fully.

HONDURAS

IMPACT EVALUATION:

INSTITUTE FOR INTERNATIONAL DEVELOPMENT INC.
IIDI/IDH-HONDURAS

Date: MaY 25, 1982
 Author: Peter H. Fraser with Bruce A. Tippet
 Methods: Site observations; interviews w/PVO officers at HQ and field; and small-business beneficiaries; program records.
 Type: Special Evaluation
 Pages: 37 plus appendices
 Related: None
 LogFrame: Purpose

Evaluates the 1979-82 impact of IIDI/IDH economic development program of credit and other assistance to low-income, small business people outside of the formal credit and training system in Honduras.

Through church groups, IIDI previously linked U.S. entrepreneurs with entrepreneurs in LDCs. In 1978, IIDI changed to helping create local, self-sufficient, independent organizations, e.g., IIDI/IDH Honduras. The IIDI/IDH Matching Grant supported an "alternative credit source" loan program for middle- and lower-class clients. Information about the loans was circulated through church networks. Overall, the project was achieving its purpose-level objective: it helped individual clients and stimulated jobs in the community -- on the average, 3.08 jobs were created with each loan. Loans were made in manufacturing and retailing (31 loans) and in agriculture (28).

IDH problems were: program management needed fine-tuning; the loan disbursement process was staff-intensive, and would need revision to handle additional funds; technical assistance was not consistently provided to borrowers; and interest estimates were optimistic, and IDH faced a deficit.

Finally, some interesting data emerged, as follows: About 40% of IDH loans were large (\$5,000-\$25,000); small loans and large loans were equal with respect to payback problems; small and large loans had the same administrative costs; there was little difference in the number of jobs created by small loans or by large loans (IDH stimulated job-creation through capital-intensive investments in fixed assets coupled with a little working capital); and loans to lower-class beneficiaris showed higher levels of economic impact. Lessons learned: Small loans are as likely to create jobs as large loans, especially if the large loans are intended to increase the fixed assets of business.

HONDURASIEF PRIMARY EYE CARE DELIVERY AND TRAINING

Evaluates the final results of IEF's Primary Eye Care Delivery and Training Program to assist the development of central government primary eye health care services in Honduras.

Given varying and imprecise statements, the evaluators surmise that the project's purpose was to reduce the prevalence and incidence of blindness. As such, the project's overall success could not be assessed, as no baseline indicators or epidemiological data had been collected. So, the evaluators studied MOH discharge and ambulatory data and found increased use of ophthalmological services at tertiary facilities. Although inconclusive, the MOH data suggested that PHC workers were in fact increasingly diagnosing eye problems.

Activities were: support for surveys and MOH blindness prevention planning; designing primary eye care infrastructure; training primary, secondary, and tertiary eye care personnel; and training of trainers. The project did well in training: 1800 health care workers were trained, including 50% of the rural auxiliary nurses and 65% of their supervisors (about a third of these groups were Peace Corps volunteers). However, in 1983, two years after training had been started, only 18% of the nurse supervisors were being trained. Training was effective in the short-term, but was not being sustained. At other levels, study abroad and seminars were provided for about 20 tertiary-level physicians, but no training was provided for secondary-level personnel at, e.g., rural clinics.

Lessons learned: Blindness and ophthalmic morbidity are not priority problems for the MOH. IEF has initiated programs which may not be sustained. In this case, trained eye-care workers must have appropriate support, supervision, and referral capabilities after training. But in the larger sense, MOH, IEF, and USAID/Honduras must accept that building health care programs and institutions requires comprehensive commitment, resources, and personnel.

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AFRICA AND LATIN AMERICA/CARIBBEAN
MID-TERM EVALUATION OF
COORDINATION IN DEVELOPMENT (CODEL), INC.

Date: January 1984
 Author: Terry Alliband
 Methods: Site observations; interviews with USAID officials, CODEL officials, project holders; project records.
 Type: Special Evaluation
 Pages: 101 (plus appendices)
 Related: None at the time (final evaluation done in 1985)
 LogFrame: Purpose

Evaluates the mid-term impact of 10 of CODEL's 112 projects for marginal rural groups in Africa and Latin America/the Caribbean.

The evaluator finds that CODEL is healthy, well-run and produces, with modest funds, significant benefits. Its operations (some minor refinements needed) were tested to see if they helped AID maintain beneficial relations with a world network of indigenous PVOs, and if CODEL's projects would strengthen such local organizations. It appears that PVC funds have enabled CODEL to (1) complement USAID activities and fill an important gap in serving smaller PVOs; and (2) link up to a wide network of donors to fund projects they otherwise would never consider. CODEL gets "high marks" for effective use of taxpayers' money.

The 10 projects varied widely in scope: from building a bridge to training women as homemakers. Details on each project include: factual summary, proposed impacts, actual impacts, project strengths, weaknesses, and lessons learned. Four projects had high impact and three intermediate. There was high correlation between impact and consistency with CODEL project selection criteria (i.e., effective projects were those that looked very much in the field like they did in project design). Also, the evaluation found as notable (1) CODEL-funded projects tend to replicates models proven elsewhere, but they often use very innovative implementation approaches; and (2) three of four projects measured for benefit/cost impact showed very healthy return-on-investment ratios.

Lessons learned: CODEL knows the attributes of a good project, as shown by the consistency between ranking on impact and on project selection criteria. Its strategy of adapting proven technologies is effective, because it leads to low-risk investment for donors and meaningful benefits for target populations.

HAITI

SAWS NUTRITION AND MCH PROGRAM

Evaluates the final results of the SAWS Nutrition and Maternal Health Care program to reduce malnutrition in children, ages 0-5, in rural Haiti.

The original multi-national project design in SAW's 1981 MG explicitly eschewed uniformity of services; it was offered as a general guide. As the project evolved in Haiti, its objectives and services were revised. While difficult to evaluate in specific terms (weak data gathering and vague community definitions were also problems), the evaluators conclude that the project has been "highly successful in reaching the most malnourished in the communities surveyed" and has had great impact on children's nutrition in (1) "saving a number of third-degree malnourished children from death"; and (2) producing an absolute weight-gain in 96% of third-degree malnourished children.

Performance was uneven in other activities: the project did well in establishing nutrition centers, training health workers, and starting kitchen gardens; too, a high rate (72%) of mothers stayed in the child-weighing program long after food incentives ended. But the project lagged in self-help projects, number of children cycled through the program, and the number of children weighed monthly; and the educational component was weak -- weak curricula and unbalanced lectures and practicums.

Lessons learned: Field directors will operate programs with high autonomy and low communication especially where the sponsoring agency views the Log Frame as a general guide. Thus, the conceptual rigor of the program may dissipate: here, "Community Health Worker" was diluted to the concept of "Nutrition Agent." Also, unexpected effects may change project impact: mothers may eat portions of the children's food, unless provisions are made for them; or may reduce children's diet in the last weeks so they can re-enter the program.

THE EVALUATION OF SMALL ENTERPRISE PROGRAMS AND PROJECTS:
ISSUES IN BUSINESS AND COMMUNITY DEVELOPMENT

 Date: June 1983
 Author: Robert W. Hunt
 Methods: Secondary data/documents: AID evaluations, unpublished materials, periodicals, books.
 Type: Special Report
 Pages: 39 (plus appendix)
 Related: None at the time (later workshop referenced this)
 LogFrame: Purpose

 Gives overview of small-scale enterprise (SSE) development and approaches to SSE support, social and economic "impacts," and the "causes" of them. Lists indicators of project impact.

Agreed: SSEs create employment, and social and economic benefits; differences arise over how much, by which measure, of what import. SSEs are increasingly studied and supported by development agencies, as important against unemployment. While often lacking information and resources, and relying on simpler technologies and materials and little managerial expertise, SSEs may be the best (only?) source of employment for the urban and rural landless and unskilled.

Related to SSE development are credit, policy, public/private institutions, social and psychological factors as well as project design and implementation factors. These "major influences" and their relationships in SSE development are largely hypothetical and narrowly conceived. Multivariate approaches are now necessary to generate empirical theory to study multiple relationships among independent and mediating variables. Three approaches to SSE development are (1) Resource Transfer -- provides credit and skills; (2) Psycho-Social -- nurtures certain motives or traits; and (3) Community -- develops corporate institutions and values. These three differ in meanings and means of economic growth and equity.

No approach will be consistently better than another, but approaches should be matched to settings. Comparing methods and loci of intervention gives a 25-cell matrix representing the range of project inputs and targets, and clarifying project assumptions and alternative approaches. Then, three questions for impact evaluation are: Who benefits? How do benefits stimulate other development? How are benefits best sustained? SSE evaluations should anticipate all outcomes: individual, economic/political linkages, community.

LATIN AMERICA/AFRICASEARCHING FOR BENEFITS:
AID EVALUATION SPECIAL STUDY NO. 28

Date: June 1985

Author: Peter Kilby and David D'Zmura

Methods: Secondary data analysis of economic data from five evaluation studies.

Pages: 121 pages

Related: Two other publications in the series are: AID Program Evaluation Discussion paper No. 22 (PN-AAL-053), Report on the Workshop on Private Voluntary Organizations and Small-Scale Enterprise Development (Spring 1985); and AID Evaluation Special Study No. 27 (PN-AAL-055), Voluntary Organizations and the Promotion of Enterprise (Spring, 1985).

Type: Special Study

An economic analysis of a sample of five PVO lending projects to learn what did and did not work in small-scale enterprise (SSE) assistance projects. This causal analysis explains variations in performance related to activities, location, external factors (e.g., GNP growth rate), delivery system, amount of assistance, use of PVOs. The projects were in Upper Volta, Honduras, Dominican Republic, Brazil, and Peru. The analysis was intended to aid the smallest SSEs -- called micro- or informal enterprises.

Major findings are (1) high return puts microenterprise lending among the most successful of all aid schemes; (2) no project is successful in conventional terms of income covering expenses, thus self-sufficiency and sustainability should not be equated with economic success or failure; (3) the successful projects get most of their benefits from clients' output response, but less successful projects get most benefits from external economies -- backward linkages, demand, consumer benefits; (4) high inflation is very hard on SSEs -- negative interest rates cause serious capital erosion; (5) SSE loans produce most benefits in expansion periods; (6) quick loan delivery systems are most cost-effective by virtue of greater timeliness and thus benefits to borrowers;

Two other findings are: technical assistance (TA) to strengthen managerial and technical capacity does not reduce production costs, rather TA adds much to costs and worsens benefit-cost ratio; and PVOs have several advantages in SSE lending projects -- continuity in the field, motivated to work locally and with the poor, favorably perceived, free of political pressure, and favorable costs.

ABSTRACT

General Worldwide. Evaluation. Turning Private Voluntary Organizations into Development Agencies: Questions for Evaluation. AID Program Evaluation Discussion Paper No. 12. FVA/PVC. Judith Tendler. April 1982

Evaluates the evaluation literature on PVO activities in numerous sectors in many Third World nations, for the purpose of recommending how to improve the quality and relevance of AID evaluations. The paper concludes that PVOs should not propagate certain "articles of faith" about their effectiveness. If taken seriously by evaluators, these PVO claims could "get them into...trouble."

Various claims are described and evidence for each is presented. For example: (1) PVOs are good at reaching the poor. Many times, PVOs aid local elites and the middle classes, with benefits sometimes going directly or indirectly to the poor. But many times it is best not to target the poorest, but other groups: women, entrepreneurs, the disabled, etc. (2) PVO projects are participatory. On the contrary, PVOs often engage the local decision-makers or use "enlightened" top-down control over projects. (3) Similarly, claims that PVOs are innovative or work best without government "interference" are balanced by evidence that they sometimes even lag behind the governments they assist and often join in very successful ventures with governments.

Other claims are described and evidence presented on all sides. The paper concludes with three categories that subsume all evaluation questions raised: (1) characteristics of decision-making; (2) characteristics of beneficiaries; and (3) what the project is doing that work well/not well. Each of these categories is composed of several questions and subtopics related to the project activity, context, government relations. The final section presents 62 points for improving evaluations.

WORLDWIDE

APPROACHES TO EVALUATION:
TOWARD AN EVALUATION STRATEGY FOR THE
PRIVATE AND VOLUNTARY COMMUNITY

Date	1985
Author:	Evaluation Steering Committee of INTERACTION
Methods:	Personal interviews with PVO officers; personal knowledge
Type:	Special Evaluation (self-evaluation)
Pages:	21 pages
Related:	None
LogFrame	Purpose (none specified)

Evaluates the three-year achievements of the PVO "Approaches to Evaluation" project to develop evaluation skills through collaborative training and interchange among PVOs. The project entailed participation by 51 PVOs in workshops to define concepts; publication of an Evaluation Sourcebook; practical training workshops; and formation of a communication network among participating PVOs which collected nearly 200 PVO evaluation documents and responded to over 2000 requests.

Surveys of 31 PVOs found growing consensus on the importance of participatory evaluation, and many changes during the past three years: PVO commitment to evaluation is substantial (measured by increases in staff, assistance, training, etc.); approaches are more common than different; and training and utilization lag behind evaluation work. The project shows encouraging signs of meeting its objectives: (1) PVO participation has been high and sustained in committee work, contributions, and workshops; (2) information exchange was judged high and effective through the Sourcebook (the most effective vehicle), workshops, and networking activities.

In sum, the project was very successful and has evolved to the point of being an integral part of INTERACTION's core program. While PVO interests are broad and diverse, but the evaluation focus is one of the most productive. Now, however, the focus should shift from developing methodologies to demonstrating concrete uses of evaluation.

BRAZIL

VENTURES IN THE INFORMAL SECTOR,
AND HOW THEY WORKED OUT IN BRAZIL

Date: March 1983
Author: Judith Tendler
Methods: Interviews w/program officers, clients, government; site visits, records (4 weeks)
Type: Special Evaluation
Pages: 159
Related: None
LogFrame: Purpose

Evaluates 10-year-old UNO (Brazilian PVO) program of credit to small businesses without previous access to formal credit in Recife and Northeast Brazil.

Considered a model of success, UNO's program has grown from about 175 loans/year to about 4000. It pioneered loans to small firms without credit access, and has a very high 95%-repayment rate. With a "remarkably democratic" approach and strong identification with clients and neighborhood, it has close community relations. It has resisted political and financial pressures, and is today a mature, competent organization of unique national prominence.

Yet, as a model, UNO is flawed. Despite low overhead, unit costs are high while productivity is low: only a few firms get loans; these tend not to increase output or create jobs; and loans have not graduated these firms to new credit access with banks. The evaluator suggests that UNO is not a model of how to carry out an old task, but is a lesson in how to build a new institution. UNO is financially prudent: it lends mostly to low-risk retailers than to manufacturers/service businesses, which are more likely to expand output; many are small-family businesses which do not create jobs; many of the owners left other jobs to start their businesses, so the poorest and unemployed have not been targeted by UNO.

Lessons learned: UNO is not a model; it's a new way of doing things. Rather than reaching for new firms., UNO spends much time with a few firms. Stability, not growth, justifies the program. Small firms will not automatically grow with such assistance, but they will fail less. Yet, UNO's strength is its weakness: in ignoring chances to become self-sustaining (lending at higher rates to wealthy firms), it remains dependent on outside funding, its prized autonomy compromised.

WORLDWIDEA SYSTEMS APPROACH FOR THE DESIGN AND EVALUATION OF
PVO SMALL ENTERPRISE DEVELOPMENT PROJECTS

Date August 1984
Author: Cheryl A. Lassen
Methods: Working Group Discussion
Pages: 28 pages
Related: None
Type: DK (group recommendations)

Paper develops the ideas of PVO-donor working group which met to formulate a new analytic framework to encompass the diversity and complexity of that (1) accounts for highly diverse benefits; (2) introduces greater rigor into study of benefits; (3) identifies change over time and suggests measures; and (4) creates a more appropriate framework for studying income-generating and small enterprise projects and socio-economic change.

To move "beyond present evaluation paradigms," the report offers four more sets of recommendations. Looking at the diversity of PVO approaches to many kinds of projects, the paper identifies a continuum of income/business projects, saying that specific PVOs do not serve the entire continuum. Therefore, comparative evaluations must identify differences among agencies. Citing the importance of economic, political, ethnic, etc. context on the success of development projects, the paper offers guidelines for judging one project context vs. another. Other guidelines and indicators are given for measuring benefits to individuals, to local economies, to institutions, and to society; and the next section gives examples of translating indicators into field measurements.

Part II of the paper recommends steps for doing evaluations with comparative valuation of benefits, comparative economic analyses, and comparative results. The paper concludes with the group's recommendations for actions needed for further development of a systems approach, urging that a sourcebook be developed to serve as a self-help manual for PVOs.

A GUIDE TO AID - PEACE CORPS - PVO
COLLABORATIVE PROGRAMMING

 Date: August 1984
 Author: AID/FVA/PVC and
 Peace Corps Office of Training & Program Support
 Methods: Interviews w/Agency and PVO officers; records
 Type: Special Evaluation (?)
 Pages: 46, plus appendices
 Related: None
 LogFrame: Purpose

Reviews resources, agencies, and mechanisms for collaboration among AID, Peace Corps (PC), and PVOs. Describes activities of the three groups since 1973 in the South Pacific, Central America, and the Middle East.

The paper gives many examples of collaboration, noting that countries, projects, budgets have increased many-fold in recent years; and noting that PC and PVOs share an ability to work at the grass roots, thus it is natural that AID, in trying to address basic human needs in LDCs, should increasing collaborate with them. Collaboration works best when initiated by the field with local government cooperation, and with AID funding a PVO-program manned by PC volunteers (PCVs).

In small, informal settings -- where PVO projects are run by PCVs, such as a Save The Children project in Tuvalu -- the prevalent spirit is cooperation. Initiatives by the two groups are mostly indistinguishable. Often PCVs (having started, e.g., agricultural, handicrafts, or day-care projects) remain as PVO staff when their PC tour ends. But in larger projects, PC and AID staff may change several times in its life. The projects that had relied on ad hoc, informal agreements on logistical support (e.g., transportation) suffered and often failed. Other projects -- water development in Yemen, road construction in Sierra Leone -- have met local resistance and delays by using unskilled PC volunteers.

Lessons learned: The confidence and support of the local government is essential to success. Success is also due to strong commitment of PC and PVO staff. Formal agreements on project authority, responsibility, information exchange are essential to prevent misunderstandings. PCVs should not arrive in-country prematurely and need enough technical expertise to overcome local skepticism.

WORLDWIDE

THE OCEAN FREIGHT REIMBURSEMENT (OFR) PROGRAM

 Date: October 1985
 Author: W. Thomas Kelly
 Methods: Interviews w/PVO officers; AID/PVO financial records,
 legislative, administrative, policy documents
 Type: Special Evaluation (?)
 Pages: 16, plus appendices
 Related: None
 LogFrame: Purpose

Evaluates whether the OFR program -- whereby AID reimburses PVOs for costs of shipping commodities to LDCs -- is making the best use of its resources in view of increased PVO demands on a static \$7.5 million budget.

The major PVO participants can control the level of in-kind contributions from their strong, supportive constituencies. So they can adjust to changes in OFR support. The real problem is lack of basic policy on which activities to fund or where. As a result of no funding priorities, many imbalances occur. Thus, most programs are relief-oriented rather than developmental, with priorities for immediate- rather than long-term need. This makes AID's approach reactive rather than proactive. Also, a country entering the program remains regardless of its economic changes. Thus, 70% of the beneficiaries since World War II have become middle-income, and represent only 40% of the total population served.

The OFR allocation process needs revision. Because AID and PVO fiscal years differ, estimated costs greatly exceed allotments while submitted claims consistently fall short of allotments. Contrary to AID policy, no cash match is required under the program, although PVO cost-sharing contributions are substantial.

An overall funding policy is needed. Options include limiting OFR (1) to countries below a poverty level; (2) to certain commodities; (3) to certain types of programs and uses; and (4) to shipments receiving direct PVO cash contributions. And, while OFR does not fall under the 1961 restrictions that AID serve "friendly peoples," the author suggest it be considered in prioritizing funding.

APPENDIX C

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D-7(ROSS):

October 13, 1985

MEMORANDUM FOR: Ross Bigelow
FROM: Gerald Hursh-Cesar *HC*
SUBJECT: FVA/PVC Abstracts

Attached is a first draft of abstracting guidelines for PVC program evaluation reports, audits, and final reports.

Unfortunately, working on two different Wangs has produced a somewhat inconsistent format.

1. General Comments:

- o Abstracting is designed for junior-level staff who -- guided by (1) contractor-supplied codes; (2) a code book; and (3) specific instructions for writing narratives -- could produce consistent and meaningful abstracts.
- o PVC abstracting would be consistent with DIS abstracting, using a somewhat modified version of Form 590-7.
- o However, information unique to PVC would be coded in addition, but, unless requested by the user, would be suppressed in normal output.
- o Most of this information would be supplied as coded data by the contractor. The provision of codes would require no effort by the contractor, but would mean that:
 - a. PVC requires contractors to supply the data in all reports, and gives the necessary codes to contractors (a one-page code sheet).
 - b. PVC requires contractors to supply the data in the same place each time -- preferably the inside cover of the report (covers should always be heavy paper stock).
 - c. PVC stipulates that incomplete or inaccurate contractor coding may delay payment.
- o Coded data would be translated into narrative in DIS output.
- o Finally, the Log-Frame is used to structure the narrative of all abstracts. This is for more than consistency: if projects are designed, implemented, and evaluated by the Log Frame, they should be reported and abstracted the same way,

This would require PVC to stipulate in its contracts a preferred mode of reporting.

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OUTLINE OF THE ATTACHED MEMO

- o pp. 1-2 Principles of good abstracting
- o pp. 3-8 Instructions for the top and bottom coded portions of Form 590-7.

NOTE: Blue indicates items that contractors could easily provide (on the basis of the code sheet and the contract that PVC supplies them).

Red indicates items that may be suppressed in normal output, but could be requested.

Yellow indicates items for which I have questions.
- o p. 9 Introduction to abstract narratives.
- o pp.10-12 1st Paragraph: Fixed for all abstracts to contain eight (8) items of information.

Examples are given for each item. And three examples of a 1st Paragraph are given (p.12).

pp.13-15 2nd Paragraph: Focuses on Purpose-level achievement (or Goal, if justified): success/-failure, reasons, unexpected influences and results.

One example given of a 2nd Paragraph (p.15).

pp.16-17 3rd Paragraph: Focuses on Output-level achievement (or Purpose, if justified): success/failure, reasons, unexpected influences and events.

One example given of a 3rd Paragraph (p.17).

pp.18-19 4th Paragraph: Conclusion: Lessons learned; recommendations, if justified.

One example given of a 4rd Paragraph (p.19).

p.20 Example: One example of full abstract.

D-7(ROSS):

ABSTRACTING INSTRUCTIONS FOR PVC DOCUMENTS

I. GENERAL INSTRUCTIONS:^{1/}

The abstracting guidelines here pertain only to informative abstracts of FVA/PVC documents on its technical assistance projects: (a) Evaluations; (b) Inspector General Audits; and (c) Final Reports.

A. ABSTRACT CONTENTS:

1. Essential: Condenses the essence of a document; separates primary and essential from secondary and peripheral.
2. Objective: Is a factual representation of the original document, not a critical review. It neither introduces feelings or qualifications nor evaluates, interprets, or draws conclusions.
3. Accurate: Relates without error the information given.
4. Proportional: Gives greater proportion to most important information, and shows emphasis with such phrases as "emphasis on," "focus on," "report is largely devoted to," "the paper's major portion" ... etc. (See p.13 for a qualification.)

B. WRITING STYLE:

1. Coherent Whole: Has a beginning, middle body, and conclusion -- which may not correspond to the order of the original document. Ideas and sentences are connected logically and verbally.
2. Clear Meaning: Informs; does not engage in discussion. It avoids vague expressions and indefinite references; never makes the reader ask a question or refer to the original document for clarity.

^{1/} Adapted from Abstracting Guidelines for the AID Document Information and Handling Facility, AID/W-PPC/DIU, December 16, 1982.

3. Concise: Uses the briefest, most economic means of expression.
4. Grammar: Observes all grammatical rules.
5. Diction: Avoids slang and contractions, but uses parallel construction, varied expression, and vivid language. It is dignified but not boring.
6. Tense: Written in past or present perfect tense or in present tense in Audits.
7. USG Style: Follows the Government Style Manual.^{2/}
8. Acronyms:^{3/} Used if (a) the name to which they refer is spelled out with acronym in the top half of the abstract form (see below); (b) the name is spelled out with acronym in its first use in text; or (c) the entity is identified when the acronym is first used -- e.g., "CREDICOOP, a Paraguayan national credit cooperative." Common acronyms are not spelled out -- e.g., AID, OAS, LCD, ADP, PVO, UNICEF, UN, UNDP, CARE, WHO, IMF, FAO, NGO, ORT.
9. Length: 250 words +/- 10%.
10. Submission: Prepared as the middle portion of AID Form 590-7, which also contains certain coded information (described below).

^{2/} Citation for USG Style Manual.

^{3/} Citation for Acronyms Handbook.

II. SPECIFIC INSTRUCTIONS:

Below are instructions for using AID Form 590-7 for coding and writing informative abstracts of PVC documents.

A. CODED INFORMATION:

Coded and narrative information is entered into the PVC project information system as well as into the AID Development Information System (DIS). Correspondence between DIS and PVC input documents is maintained.

However, PVC abstracts contain (in the top and bottom portions of Form 590-7) certain coded information unique to PVC. These codes may be suppressed or printed as narrative in the output.

Below are instructions for coding information in the top and bottom portions of Form 590-7:

[INSERT ATTACHED FIVE PAGES]

-4-
CODEBOOK FOR TOP PART OF FORM 590-7
AND BOTTOM PARTS

- NOTE:
1. (BLUE) MUCH INFORMATION IS CONTRACTOR-PROVIDED ON THE INSIDE-COVER PAGE OF THE REPORT.
 2. (RED) SOME ITEMS WILL BE "SUPPRESSED UNLESS REQUESTED."
 3. (YELLOW) UNCERTAIN ITEMS.
-

A. DOCUMENT AND PAGES:

1. Report Number and Status:

- a. Unique 7-digit code assigned by PVC. May include numbers and letters (e.g., PVC-1033).
- b. Followed by "I" for Interim document or "F" for Final evaluation/document.

2. Pages and Replacement:

- a. Total Number of Pages, 4-digits followed by "p" and a period(.).
- b. If uncounted, count and enter total pages.
- c. Followed by "/S/" if this supersedes a previous document.
- d. Followed by DIS Number of superseded document.

EXAMPLE: PVC-1035/F
 123p./S/UCLR-9978

B. DIHF (DIS) NUMBER:

- o DIS-use only

C. TITLE:

1. Type of Document:

- 14 -- Project Evaluation Report (PER)
- 15 -- Project Evaluation Summary (PES)
 [incl: old #10 -- Project Appraisal Report (PAR)]
- 17 -- Special Evaluation Report (SER)
 [incl: Interim Evaluation & Mid-term Evaluation???
- 18 -- Audit Report (AR)
- 68 -- Final Report (FR)
- ___ -- Trip Report/End of Tour Report???

2. English Title in full (or non-English title if no English title exists).

3. Other Languages in which translated:
00 -- None
01 -- Spanish
02 -- French
03 -- Arabic
NN -- As many codes as desired.

4. Name of Country(ies)
01-NN -- Country codes

5. Type of Activity:
01 -- Agriculture/Nutrition/Rural Development
02 -- Population
03 -- Health
04 -- Education/Human Resource Development
05 -- PVO (incl: small enterprise, energy, environment, urban development)
06 -- Technology/Skills Transfer

EXAMPLE: Project Evaluation Report: Evaluation of Meals for Millions Feeding Project. Honduras: Applied Nutrition Program. (Available in Spanish).

D. AUTHORS:

1. Last Name, First Name, Initial.
2. Three persons maximum.

EXAMPLE: Bechert, James G., Greitzo, Reinhardt, and Kleinschmidt, Carrol L.

E. DATES:

1. Project Dates:

3 Digits: From Month/Year to Month/Year

2. Evaluation Dates:

11 Digits: From Month/Year to Month/Year; and Number
of Weeks of Evaluation Period

3. Report Date:

4 Digits: Month/Year

EXAMPLE: Project: 11/78 - 06/83
Evaluation: 06/83 - 08/83 - 008 (weeks)
Report: 01/84

F. FUNDING

- 01 -- (MG) Matching Grant
- 02 -- (IDG) Institutional Development Grant
- 03 -- (ISG) Institutional Support Grant
- 04 -- (CG) Consortium Grant
- 05 -- (OPG) Operational Program Grant
- 06 -- (MSG) Management Services Grant
- 07 -- (OG) Other Grants
- 08 -- (CA) Cooperative Agreement

G. EVALUATION METHODOLOGY:

1. Secondary Data:

01 -- Project/Institutional Records

2. Qualitative:

- 02 -- Site Visit/Observation/Discussion
- 03 -- Interviews: HQ/Agency Staff
- 04 -- Interviews: Project Field Staff
- 05 -- Interviews: Host Government Officers
- 06 -- Interviews: Other Country Informants
- 07 -- Interviews: Beneficiaries

3. Quantitative/Quasi-Quantitative:

- 08 -- Sample Survey
- 09 -- Longitudinal Surveys w/o Controls
- 10 -- Longitudinal Surveys w/Controls
- 11 -- Other Field Methods (e.g., Case Study,
Focused Groups, etc.);
Specify: _____

H. LEVELS OF EVALUATION:

o Log Frame Levels Evaluated:

- 01 -- Goal
- 02 -- Purpose
- 03 -- Outputs
- 04 -- Inputs

EXAMPLE: Purpose-level evaluation by:
Project records/site visits/interviews with:
project staff, country informants, government
officials, and beneficiaries.

I. AGENCIES:

- 1a. Name(s) and Acronym(s) of Implementing Agency whose field program was evaluated.
- 1b. Institution Code.
- 2a. Name(s) and Acronym(s) of Grantee Agency sponsoring the program (may be same as 1a).
- 2b. Institution Code.

EXAMPLE: 1. Meals for Millions (MFM/092); Freedom from Hunger Foundation (FHF/093).
2. International Eye Foundation (IEF/167)

J. SOURCE DATA(???):

1. Contract/Grant Number:

"A" + 7 Digits (?): Number under which document was produced/Contract Author
"E" + 7 Digits (?): Number under which document was produced/Contract Evaluated.

2. Project Number:

9-digit code for AID project number (7 digits) and subproject suffix (2 digits), if any.

K. AVAILABILITY:

1. Translated Titles: If any.
2. Series: Indication that document stands alone or is one in a series of similar documents.
3. Related Documents: Names/Numbers
4. Availability:
 - a. Unrestricted/Available to public
 - b. AID Only: Limited distribution
 - c. USG source of document (e.g., DIS, PVC, GPO)
 - d. Any publishers/other sources.

B. ABSTRACT NARRATIVE:

The Form 590-7 abstract is in three parts. As just described, the top and bottom portions contain coded information. The middle portion is for the abstract narrative.

The 250-word narrative is in three parts (usually no more than four paragraphs):

- o Part_1: INTRODUCTION (1 para.).
- o Part_2: BODY (2 paras.).
- o Part_3: CONCLUSION (1 para.).

While the content of each part cannot be predetermined, each part is comprised of predetermined categories of information. These categories ensure that each abstract, regardless of the nature of the original document, uniformly addresses the same types of topics.

As will be seen, especially in the description of the body of the abstract, each abstract condenses essential information about a project's success or failure in meeting one level or more of (i) Input, (ii) Output, (iii) Purpose, and/or (iii) Goal objectives of the LOGICAL FRAMEWORK that defined the project.

NOTE: Most abstracts will focus on and give priority to Purpose-level results; and, secondarily, to Outputs. Few will be limited only to Inputs and few will have the perspective of long-term Goal achievements.

The reasoning for structuring abstracts according to project LOG-FRAMES is that AID projects invariably are designed, agreed, implemented, and evaluated according to LOG-FRAME logic and indicators. Their reports and abstracts should be no less.

Pages 10-20 below give instructions for writing abstracts of PVC documents.

CODEBOOK INSTRUCTIONS FOR ABSTRACTING

1. FIRST PARAGRAPH:

The first paragraph of all abstracts carries the same information for all evaluation and other information reports.

The paragraph has eight items of information. They are:

- (1) The information activity.
- (2) The temporal limits of the activity.
- (3) The acronym of the implementing agency.
- (4) The generic type of programming.
- (5) The Log-Frame purpose of the project being evaluated.
- (6) The number and type of target beneficiaries.
- (7) The location and probable reach of the project.
- (8) The country.

EXAMPLES:

(1) Information activity:

<u>Primary:</u>	<u>Others</u>
"Evaluates"	"Recommends"
"Audits"	"Designs"
	"Reviews"
	"Describes"
	"Analyzes"
	"Proposes"

(2) Temporal Limits:

"Final results"
"Preliminary findings"
"Interim achievements"
"Mid-term progress"

NOTE: An audit often may need different treatment. For example, "an audit of ... cost-effectiveness."

(3) Implementing Agency:

Use acronyms from top of form.

(4) Program Area:

"Agricultural Extension"
"Nutrition Education"
"Blindness Prevention"
"Family Planning Adoption"
"Small-scale Enterprises"
(etc., see "Title" Item 5
on page 2 above).

(5) Project Purpose:

Improvements in:

"Nutritional status"
"Rural health services"
"Water-boiling practices"
"Levels of immunization"
"Yields per hectare"
"Viable small enterprises"
"School attendance"

(6) Target Beneficiaries:

"Urban residents"
"Children 0-5 years of age"
"Pregnant and lactating women"
"Secondary school-leavers"
"Small farmers"

NOTE: Communities, areas, institutions, and activities that are project "beneficiaries" can usually be defined in terms of the people who comprise them.

(7) Location/Reach:

"The northern states tier"
"The coastal fishing zone"
"Haryana and Rajasthan states"
"The Majas mountain region"
"In the Efek river basin"

(8) Country:

Names only of the countries included in the evaluation (or other report), regardless of the number otherwise involved in the program.

EXAMPLE

BELOW ARE EXAMPLES OF FIRST PARAGRAPHS
INCORPORATING THE EIGHT INFORMATION ITEMS DESCRIBED ABOVE:

Example: (1) Evaluates the (2) interim achievements of the (3) MFM (4) applied nutrition program (ANP) to (5) develop a rural supplementary feeding program for (6) children 0-5 years of age in 50 villages (7) in the Southern Region of (8) Tanzania.

Translated: Evaluates the interim achievements of the MFM applied nutrition program (ANP) to develop a rural supplementary feeding program for children 0-5 years of age in 50 villages in the Southern Region of Tanzania.

Example: (1) Audits the (2) final results of the (3) IEF (4) blindness prevention program (BPP) to (5) optimize the costs of curative and preventative blindness treatment in (6) the general hospital and two eye clinics serving residents with impaired vision in 35 villages (7) in the Malyalam Tehsil of (8) Kerala, India.

Translated: Audits the final results of the IEF blindness prevention program (BPP) to optimize the costs of curative and preventative blindness treatment in the general hospital and two eye clinics serving residents with impaired vision in 35 villages in the Malyalam Tehsil of Kerala, India.

Example: Evaluates the preliminary results of the BSA small-scale enterprise project (SSE) to develop economic self-sufficiency among married women, ages 15 to 49, who initiate home-based cottage industries in urban and rural communities of the Hadja mountain region of Northen Nepal.

2. SECOND PARAGRAPH:

The 2nd Paragraph focuses, to the extent possible, on Purpose-level results: the "END-OF-PROJECT-STATUS" (EOPS), with these guidelines:

- a. Some reports will deal with project Goal achievements. Such treatment is often premature and inconclusive. Here, the abstract would focus on results/findings for project Purpose (EOPS), but notes briefly that progress toward Goal achievement is reviewed in the report.
- b. There may be exceptions in which the evaluation spans the time required for Goal effects to occur (e.g., infant mortality and morbidity). Here, the abstract focuses on Goal achievement in the 2nd Paragraph and on Purpose achievement in the 3rd Paragraph, omitting reference to Outputs.
- c. Most reports will deal with Purpose and Outputs. The first priority of PVC abstracts is to report EOPS results. This is the level at which "lessons learned" can improve future projects. Information on Outputs is secondary, and may be sacrificed for full reporting on EOPS.
- d. Some reports inform only as high as the Output level. In these cases, Outputs and Inputs become the substance of the 2nd and 3rd Paragraphs.

In summary, PVC abstracts emphasize findings on projects' final results measured against their LOG-FRAME Purpose.

Information on Purpose-level findings is considered the most useful information to share with others for improving project design and implementation.

Regardless of the proportional attention that authors pay to other levels of achievement (e.g., Goal or Outputs), the top priority of the Abstractor is to pull together a coherent picture of the project's success or failure in meeting its Purpose objective.

NOTE: Sometimes this will modify rule A.4. ("Proportional") given on p.1 above.

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To the extent applicable, the 2nd Paragraph contains a summary and two bodies of information ("Project Success" and "Project Failure"), each with three elements and ordered as follows:

- A. SUMMARY: Summary of authors' assessment of project's success/failure in achieving Purpose.
- B. PROJECT SUCCESS: Degree of achieving project Purpose; or Outputs if Purpose not applicable.
 1. Type of Success: Review of achievements by each Indicator (LOG-FRAME OVIs) of project Purpose.
 2. Causes: Reasons for each achievement; what, for each Indicator, "explains" success. This includes the effects of External Factors, if any, on project implementation. These are like "Assumptions" in the LOG-FRAME -- outside project control.
 3. Unexpected Results: Unplanned positive effects, outcomes, consequences of the project, if any.
- C. PROJECT FAILURE: Degree of failing project Purpose; or Outputs if Purpose not applicable.
 1. Type of Failure: Review of under-achievements by each Indicator (LOG-FRAME OVIs) of project Purpose.
 2. Causes: Reasons for each problem; what "explains" failure by each Indicator. This includes the effects of External Factors (problems, complications), if any, on project implementation.
 3. Unexpected Results: Unplanned negative effects, outcomes, consequences of the project, if any.

Of course, some 2nd Paragraphs may consist entirely of one type of information (e.g., positive) or the other (e.g., negative).

However, few projects achieve complete success (or complete failure) on all indicators of Purpose achievement. Similarly, both positive and negative causes, external factors, and unexpected results often occur side by side.

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EXAMPLE OF SECOND PARAGRAPH

(A) MFM's ANP will be highly successful, say the evaluators. (B1) In less time/resources than planned, MFM has reached 40 of 50 villages; enrolled 33% more children than expected; and secured local food donations beyond minimum needs. (B2) Success is due to well-received information campaigns, timely establishment of feeding centers, and full integration into Government of Tanzania (GOT) rural nutrition programming. Unexpectedly, ANP has benefited from GOT's 1982 local nutrition-education program. (B3) In turn, ANP has created new interest in kitchen gardens -- 25% more gardens than a year ago. (C1) On the negative side, ANP has not developed a client registry or project monitoring system.

3. THIRD PARAGRAPH:

The 3rd Paragraph focuses, as possible, on Output-level achievements.

Outputs are "less" important than Purpose results. So, information on Purpose/EOPS may comprise all/most of the 2nd and 3rd Paragraphs, even at the expense of Outputs. If Output information cannot be combined with Purpose information, the abstract may refer the reader: "Details on Outputs are in the Report."

The 3rd Paragraph follows the format of the 2nd:

- A. SUMMARY: Summary of authors' assessment of project's success/failure in producing Outputs; or Inputs if Outputs not applicable.

- B. PROJECT SUCCESS: Degree of achieving project Outputs.
 - 1. Type of Success: Review of achievements by each Indicator (LOG-FRAME OVIs) of project Outputs.
 - 2. Causes: Reasons for each achievement; what, for each Indicator, "explains" success. This includes the effects of External Factors, if any, on project implementation. These are like "Assumptions" in the LOG-FRAME -- outside project control.
 - 3. Unexpected Events: Unplanned positive events, if any, resulting from project delivery.

- C. PROJECT FAILURE: Degree of failing project Outputs; or Inputs if Outputs not applicable.
 - 1. Type of Failure: Review of under-achievements by each Indicator (LOG-FRAME OVIs) of project Outputs.
 - 2. Causes: Reasons for each achievement; what, for each Indicator, "explains" failure. This includes the effects of External Factors, if any, on project implementation.
 - 3. Unexpected Events: Unplanned negative events, if any, resulting from project delivery.

As above, some 3rd Paragraphs may have only one type of information (e.g., positive) or the other -- often due to uneven reporting of positive and negative achievements, causes, external factors, and unexpected results.

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EXAMPLE OF THIRD PARAGRAPH

(A) Timely delivery of most project Outputs aids ANP success:
(A1) 25 trained GOT staff, supplies, and godowns were provided as agreed. (B1) However, GOT supplied only one-third of the grains planned, reducing the bulk and quality of servings but stimulating ANP staff to seek larger local donations. (B2) And a national technician's strike delayed A/V materials, (B3) which reduced the impact of the information campaign.

NOTE REGARDING 2nd AND 3rd PARAGRAPHS

Because some information is more important than others, not all items described above in PARAS 2 and 3 will be included in all abstracts.

Further, some reports will not have all of the information desired on achievements, problems, causes, external factors, or unexpected results.

4. FOURTH PARAGRAPH:

The 4th Paragraph concludes the abstract. As possible, it focuses on "lessons learned" from the present project for use in future projects. Also, if space permits, the 4th Paragraph may carry recommendations and other summary comments of the authors.

As possible, the 4th Paragraph may include several of the following points:

A. LESSONS LEARNED (positive and negative):

Evidence found in this project that may benefit others elsewhere with respect to:

- 01 -- Project costs/benefit costs/cost-effectiveness
- 02 -- Institution-building/capability
- 03 -- Sustainability/viability
- 04 -- Benefit distribution/equity/spread effects
- 05 -- Replicability
- 06 -- Local participation
- 07 -- Leadership development
- 08 -- Innovation diffusion/technology transfer
- 09 -- Policy implications
- 10 -- Collaboration/networking with other agencies
- 11 -- Host government service integration
- 12 -- Other

B. RECOMMENDATIONS:

Findings are more important to report than recommendations, which presuppose findings and which sometimes are the obverse of findings.

Lessons learned are more important than recommendations, which are future actions and, thus, face uncertain implementation.

If space is limited, recommendations can be noted generically: "Eight recommendations are given to improve project operations."

C. OTHER COMMENTS:

Any other important issues not addressed above.

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EXAMPLE OF FOURTH PARAGRAPH

(A) Lessons: integration with government food programming and information campaigns can, if government is viewed favorably, add unexpected strength to PVO efforts. However, the project shows again that control over key components (A/V materials) is desirable; and that response to field exigencies is weakened by poor monitoring.

EXCEPTIONS TO THE RULES

Because different AID assessments may have different objectives, abstracting guidelines may vary by the type of document. For example:

1. In abstracting a Project Evaluation Summary (PES), always write the narrative to take into account the "Action Decisions" shown on the PES Facesheet. This may be at the expense of other priority content.
2. In abstracting an Audit Report, take most information from the initial summary and the final list of recommendations. Here, recommendations are very important, possibly taking precedence over findings.
3. In abstracting a Final Report, emphasize project overall success/failure by its Purpose, and the reasons therein. This may be at the expense of information on Outputs.

Finally, the next page pulls together the four paragraphs in the previous text (on pp. 12, 15, 17, and 19) given as examples of abstracting an interim evaluation of a fictive ANP project in Tanzania.



EXAMPLE OF A FULL-TEXT ABSTRACT

Evaluates the interim achievements of the MFM applied nutrition program (ANP) to develop a rural supplementary feeding program for children 0-5 years of age in 50 villages in the Southern Region of Tanzania.

MFM's ANP will be highly successful, say the evaluators. In less time/resources than planned, MFM has reached 40 of 50 villages; enrolled 33% more children than expected; and secured local food donations beyond minimum needs. Success is due to well-received information campaigns, timely establishment of feeding centers, and full integration into Government of Tanzania (GOT) rural nutrition programming. Unexpectedly, ANP has benefited from GOT's 1982 local nutrition-education program. In turn, ANP has created new interest in kitchen gardens -- 25% more gardens than a year ago. On the negative side, ANP has not developed a client registry or project monitoring system.

Timely delivery of most project Outputs aids ANP success: 25 trained GOT staff, supplies, and godowns were provided as agreed. However, GOT supplied only one-third of the grains planned, reducing the bulk and quality of servings but stimulating ANP staff to seek larger local donations. And a national technician's strike delayed A/V materials, which reduced the impact of the information campaign.

Lessons: integration with government food programming and information campaigns can, if government is viewed favorably, add unexpected strength to PVO efforts. However, the project shows again that control over key components (A/V materials) is desirable; and that response to field exigencies is weakened by poor monitoring.

* * * * *

D-7(ROSS):

October 13, 1985

MEMORANDUM FOR: Ross Bigelow
FROM: Gerald Hursh-Cesar *HC*
SUBJECT: FVA/PVC Abstracts

Attached is a first draft of abstracting guidelines for PVC program evaluation reports, audits, and final reports.

Unfortunately, working on two different Wangs has produced a somewhat inconsistent format.

1. General Comments:

- o Abstracting is designed for junior-level staff who -- guided by (1) contractor-supplied codes; (2) a code book; and (3) specific instructions for writing narratives -- could produce consistent and meaningful abstracts.
- o PVC abstracting would be consistent with DIS abstracting, using a somewhat modified version of Form 590-7.
- o However, information unique to PVC would be coded in addition, but, unless requested by the user, would be suppressed in normal output.
- o Most of this information would be supplied as coded data by the contractor. The provision of codes would require no effort by the contractor, but would mean that:
 - a. PVC requires contractors to supply the data in all reports, and gives the necessary codes to contractors (a one-page code sheet).
 - b. PVC requires contractors to supply the data in the same place each time -- preferably the inside cover of the report (covers should always be heavy paper stock).
 - c. PVC stipulates that incomplete or inaccurate contractor coding may delay payment.
- o Coded data would be translated into narrative in DIS output.
- o Finally, the Log-Frame is used to structure the narrative of all abstracts. This is for more than consistency: if projects are designed, implemented, and evaluated by the Log Frame, they should be reported and abstracted the same way,

This would require PVC to stipulate in its contracts a preferred mode of reporting.

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OUTLINE OF THE ATTACHED MEMO

- o pp. 1-2 Principles of good abstracting
- o pp. 3-8 Instructions for the top and bottom coded portions of Form 590-7.

NOTE: Blue indicates items that contractors could easily provide (on the basis of the code sheet and the contract that PVC supplies them).

Red indicates items that may be suppressed in normal output, but could be requested.

Yellow indicates items for which I have questions.
- o p. 9 Introduction to abstract narratives.
- o pp.10-12 1st Paragraph: Fixed for all abstracts to contain eight (8) items of information.

Examples are given for each item. And three examples of a 1st Paragraph are given (p.12).

pp.13-15 2nd Paragraph: Focuses on Purpose-level achievement (or Goal, if justified): success/-failure, reasons, unexpected influences and results.

One example given of a 2nd Paragraph (p.15).

pp.16-17 3rd Paragraph: Focuses on Output-level achievement (or Purpose, if justified): success/failure, reasons, unexpected influences and events.

One example given of a 3rd Paragraph (p.17).

pp.18-19 4th Paragraph: Conclusion: Lessons learned; recommendations, if justified.

One example given of a 4rd Paragraph (p.19).

p.20 Example: One example of full abstract.

ABSTRACTING INSTRUCTIONS FOR PVC DOCUMENTS

I. GENERAL INSTRUCTIONS^{1/}:

The abstracting guidelines here pertain only to informative abstracts of FVA/PVC documents on its technical assistance projects: (a) Evaluations; (b) Inspector General Audits; and (c) Final Reports.

A. ABSTRACT CONTENTS:

1. Essential: Condenses the essence of a document; separates primary and essential from secondary and peripheral.
2. Objective: Is a factual representation of the original document, not a critical review. It neither introduces feelings or qualifications nor evaluates, interprets, or draws conclusions.
3. Accurate: Relates without error the information given.
4. Proportional: Gives greater proportion to most important information, and shows emphasis with such phrases as "emphasis on," "focus on," "report is largely devoted to," "the paper's major portion" ... etc. (See p.13 for a qualification.)

B. WRITING STYLE:

1. Coherent Whole: Has a beginning, middle body, and conclusion -- which may not correspond to the order of the original document. Ideas and sentences are connected logically and verbally.
2. Clear Meaning: Informs; does not engage in discussion. It avoids vague expressions and indefinite references; never makes the reader ask a question or refer to the original document for clarity.

^{1/} Adapted from Abstracting Guidelines for the AID Document Information and Handling Facility, AID/W-PPC/DIU, December 16, 1982.

3. Concise: Uses the briefest, most economic means of expression.
4. Grammar: Observes all grammatical rules.
5. Diction: Avoids slang and contractions, but uses parallel construction, varied expression, and vivid language. It is dignified but not boring.
6. Tense: Written in past or present perfect tense or in present tense in Audits.
7. USG Style: Follows the Government Style Manual.^{2/}
8. Acronyms:^{3/} Used if (a) the name to which they refer is spelled out with acronym in the top half of the abstract form (see below); (b) the name is spelled out with acronym in its first use in text; or (c) the entity is identified when the acronym is first used -- e.g., "CREDICOOP, a Paraguayan national credit cooperative." Common acronyms are not spelled out -- e.g., AID, OAS, LCD, ADP, PVO, UNICEF, UN, UNDP, CARE, WHO, IMF, FAO, NGO, ORT.
9. Length: 250 words +/- 10%.
10. Submission: Prepared as the middle portion of AID Form 590-7, which also contains certain coded information (described below).

^{2/} Citation for USG Style Manual.

^{3/} Citation for Acronyms Handbook.

II. SPECIFIC INSTRUCTIONS:

Below are instructions for using AID Form 590-7 for coding and writing informative abstracts of PVC documents.

A. CODED INFORMATION:

Coded and narrative information is entered into the PVC project information system as well as into the AID Development Information System (DIS). Correspondence between DIS and PVC input documents is maintained.

However, PVC abstracts contain (in the top and bottom portions of Form 590-7) certain coded information unique to PVC. These codes may be suppressed or printed as narrative in the output.

Below are instructions for coding information in the top and bottom portions of Form 590-7:

[INSERT ATTACHED FIVE PAGES]

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CODEBOOK FOR TOP PART OF FORM 590-7
AND BOTTOM PARTS

- NOTE:
1. (BLUE) MUCH INFORMATION IS CONTRACTOR-PROVIDED ON THE INSIDE-COVER PAGE OF THE REPORT.
 2. (RED) SOME ITEMS WILL BE "SUPPRESSED UNLESS REQUESTED."
 3. (YELLOW) UNCERTAIN ITEMS.
-

A. DOCUMENT AND PAGES:

1. Report Number and Status:

- a. Unique 7-digit code assigned by PVC. May include numbers and letters (e.g., PVC-1033).
- b. Followed by "I" for Interim document or "F" for Final evaluation/document.

2. Pages and Replacement:

- a. Total Number of Pages, 4-digits followed by "p" and a period(.).
- b. If uncounted, count and enter total pages.
- c. Followed by "/S/" if this supersedes a previous document.
- d. Followed by DIS Number of superseded document.

EXAMPLE: PVC-1035/F
 123p./S/UCLR-9978

B. DIHF (DIS) NUMBER:

- o DIS-use only

C. TITLE:

1. Type of Document:

- 14 -- Project Evaluation Report (PER)
- 15 -- Project Evaluation Summary (PES)
 [incl: old #10 -- Project Appraisal Report (PAR)]
- 17 -- Special Evaluation Report (SER)
 [incl: Interim Evaluation & Mid-term Evaluation???
- 18 -- Audit Report (AR)
- 68 -- Final Report (FR)
- __ -- Trip Report/End of Tour Report???

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2. English Title in full (or non-English title if no English title exists).

3. Other Languages in which translated:

- 00 -- None
- 01 -- Spanish
- 02 -- French
- 03 -- Arabic
- NN -- As many codes as desired.

4. Name of Country(ies)

01-NN -- Country codes

5. Type of Activity:

- 01 -- Agriculture/Nutrition/Rural Development
- 02 -- Population
- 03 -- Health
- 04 -- Education/Human Resource Development
- 05 -- PVO (incl: small enterprise, energy, environment, urban development)
- 06 -- Technology/Skills Transfer

EXAMPLE: Project Evaluation Report: Evaluation of Meals for Millions Feeding Project. Honduras: Applied Nutrition Program. (Available in Spanish).

D. AUTHORS:

- 1. Last Name, First Name, Initial.
- 2. Three persons maximum.

EXAMPLE: Bechert, James G., Greitzo, Reinhardt, and Kleinschmidt, Carrol L.

E. DATES:

1. Project Dates:

8 Digits: From Month/Year to Month/Year

2. Evaluation Dates:

11 Digits: From Month/Year to Month/Year; and Number
of Weeks of Evaluation Period

3. Report Date:

4 Digits: Month/Year

EXAMPLE: Project: 11/78 - 06/83
Evaluation: 06/83 - 08/83 - 008 (weeks)
Report: 01/84

F. FUNDING

- 01 -- (MG) Matching Grant
- 02 -- (IDG) Institutional Development Grant
- 03 -- (ISG) Institutional Support Grant
- 04 -- (CG) Consortium Grant
- 05 -- (OPG) Operational Program Grant
- 06 -- (MSG) Management Services Grant
- 07 -- (OG) Other Grants
- 08 -- (CA) Cooperative Agreement

G. EVALUATION METHODOLOGY:

1. Secondary Data:

01 -- Project/Institutional Records

2. Qualitative:

- 02 -- Site Visit/Observation/Discussion
- 03 -- Interviews: HQ/Agency Staff
- 04 -- Interviews: Project Field Staff
- 05 -- Interviews: Host Government Officers
- 06 -- Interviews: Other Country Informants
- 07 -- Interviews: Beneficiaries

3. Quantitative/Quasi-Quantitative:

- 08 -- Sample Survey
- 09 -- Longitudinal Surveys w/o Controls
- 10 -- Longitudinal Surveys w/Controls
- 11 -- Other Field Methods (e.g., Case Study,
Focused Groups, etc.);
Specify: _____

H. LEVELS OF EVALUATION:

o Log Frame Levels Evaluated:

- 01 -- Goal
- 02 -- Purpose
- 03 -- Outputs
- 04 -- Inputs

EXAMPLE: Purpose-level evaluation by:
Project records/site visits/interviews with:
project staff, country informants, government
officials, and beneficiaries.

I. AGENCIES:

- 1a. Name(s) and Acronym(s) of Implementing Agency whose field program was evaluated.
- 1b. Institution Code.
- 2a. Name(s) and Acronym(s) of Grantee Agency sponsoring the program (may be same as 1a).
- 2b. Institution Code.

EXAMPLE: 1. Meals for Millions (MFM/092); Freedom from Hunger Foundation (FHF/093).
2. International Eye Foundation (IEF/167)

J. SOURCE DATA(???):

1. Contract/Grant Number:

"A" + 7 Digits (?): Number under which document was produced/Contract Author
"E" + 7 Digits (?): Number under which document was produced/Contract Evaluated.

2. Project Number:

9-digit code for AID project number (7 digits) and subproject suffix (2 digits), if any.

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K. AVAILABILITY:

1. Translated Titles: If any.
2. Series: Indication that document stands alone or is one in a series of similar documents.
3. Related Documents: Names/Numbers
4. Availability:
 - a. Unrestricted/Available to public
 - b. AID Only: Limited distribution
 - c. USG source of document (e.g., DIS, PVC, GPO)
 - d. Any publishers/other sources.

B. ABSTRACT NARRATIVE:

The Form 590-7 abstract is in three parts. As just described, the top and bottom portions contain coded information. The middle portion is for the abstract narrative.

The 250-word narrative is in three parts (usually no more than four paragraphs):

- o Part_1: INTRODUCTION (1 para.).
- o Part_2: BODY (2 paras.).
- o Part_3: CONCLUSION (1 para.).

While the content of each part cannot be predetermined, each part is comprised of predetermined categories of information. These categories ensure that each abstract, regardless of the nature of the original document, uniformly addresses the same types of topics.

As will be seen, especially in the description of the body of the abstract, each abstract condenses essential information about a project's success or failure in meeting one level or more of (i) Input, (ii) Output, (iii) Purpose, and/or (iii) Goal objectives of the LOGICAL FRAMEWORK that defined the project.

NOTE: Most abstracts will focus on and give priority to Purpose-level results; and, secondarily, to Outputs. Few will be limited only to Inputs and few will have the perspective of long-term Goal achievements.

The reasoning for structuring abstracts according to project LOG-FRAMES is that AID projects invariably are designed, agreed, implemented, and evaluated according to LOG-FRAME logic and indicators. Their reports and abstracts should be no less.

Pages 10-20 below give instructions for writing abstracts of PVC documents.

CODEBOOK INSTRUCTIONS FOR ABSTRACTING

1. FIRST PARAGRAPH:

The first paragraph of all abstracts carries the same information for all evaluation and other information reports.

The paragraph has eight items of information. They are:

- (1) The information activity.
- (2) The temporal limits of the activity.
- (3) The acronym of the implementing agency.
- (4) The generic type of programming.
- (5) The Log-Frame purpose of the project being evaluated.
- (6) The number and type of target beneficiaries.
- (7) The location and probable reach of the project.
- (8) The country.

EXAMPLES:

(1) Information activity:

Primary:

"Evaluates"
"Audits"

Others

"Recommends"
"Designs"
"Reviews"
"Describes"
"Analyzes"
"Proposes"

(2) Temporal Limits:

"Final results"
"Preliminary findings"
"Interim achievements"
"Mid-term progress"

NOTE: An audit often may need different treatment. For example, "an audit of ... cost-effectiveness."

(3) Implementing Agency:

Use acronyms from top of form.

(4) Program Area:

"Agricultural Extension"
"Nutrition Education"
"Blindness Prevention"
"Family Planning Adoption"
"Small-scale Enterprises"
(etc., see "Title" Item 5
on page 2 above).

(5) Project Purpose:

Improvements in:

- "Nutritional status"
- "Rural health services"
- "Water-boiling practices"
- "Levels of immunization"
- "Yields per hectare"
- "Viable small enterprises"
- "School attendance"

(6) Target Beneficiaries:

- "Urban residents"
- "Children 0-5 years of age"
- "Pregnant and lactating women"
- "Secondary school-leavers"
- "Small farmers"

NOTE: Communities, areas, institutions, and activities that are project "beneficiaries" can usually be defined in terms of the people who comprise them.

(7) Location/Reach:

- "The northern states tier"
- "The coastal fishing zone"
- "Haryana and Rajasthan states"
- "The Majas mountain region"
- "In the Efek river basin"

(8) Country:

Names only of the countries included in the evaluation (or other report), regardless of the number otherwise involved in the program.

EXAMPLE

BELOW ARE EXAMPLES OF FIRST PARAGRAPHS
INCORPORATING THE EIGHT INFORMATION ITEMS DESCRIBED ABOVE:

Example: (1) Evaluates the (2) interim achievements of the (3) MFM (4) applied nutrition program (ANP) to (5) develop a rural supplementary feeding program for (6) children 0-5 years of age in 50 villages (7) in the Southern Region of (8) Tanzania.

Translated: Evaluates the interim achievements of the MFM applied nutrition program (ANP) to develop a rural supplementary feeding program for children 0-5 years of age in 50 villages in the Southern Region of Tanzania.

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Translated: Audits the final results of the IEF blindness prevention program (BPP) to optimize the costs of curative and preventative blindness treatment in the general hospital and two eye clinics serving residents with impaired vision in 35 villages in the Malyalam Tehsil of Kerala, India.

Example: Evaluates the preliminary results of the BSA small-scale enterprise project (SSE) to develop economic self-sufficiency among married women, ages 15 to 49, who initiate home-based cottage industries in urban and rural communities of the Hadja mountain region of Northern Nepal.

2. SECOND PARAGRAPH:

The 2nd Paragraph focuses, to the extent possible, on Purpose-level results: the "END-OF-PROJECT-STATUS" (EOPS), with these guidelines:

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- b. There may be exceptions in which the evaluation spans the time required for Goal effects to occur (e.g., infant mortality and morbidity). Here, the abstract focuses on Goal achievement in the 2nd Paragraph and on Purpose achievement in the 3rd Paragraph, omitting reference to Outputs.
- c. Most reports will deal with Purpose and Outputs. The first priority of PVC abstracts is to report EOPS results. This is the level at which "lessons learned" can improve future projects. Information on Outputs is secondary, and may be sacrificed for full reporting on EOPS.
- d. Some reports inform only as high as the Output level. In these cases, Outputs and Inputs become the substance of the 2nd and 3rd Paragraphs.

In summary, PVC abstracts emphasize findings on projects' final results measured against their LOG-FRAME Purpose.

Information on Purpose-level findings is considered the most useful information to share with others for improving project design and implementation.

Regardless of the proportional attention that authors pay to other levels of achievement (e.g., Goal or Outputs), the top priority of the Abstractor is to pull together a coherent picture of the project's success or failure in meeting its Purpose objective.

NOTE: Sometimes this will modify rule A.4. ("Proportional") given on p.1 above.

To the extent applicable, the 2nd Paragraph contains a summary and two bodies of information ("Project Success" and "Project Failure"), each with three elements and ordered as follows:

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 3. Unexpected Results: Unplanned positive effects, outcomes, consequences of the project, if any.

- C. PROJECT FAILURE: Degree of failing project Purpose; or Outputs if Purpose not applicable.
 1. Type of Failure: Review of under-achievements by each Indicator (LOG-FRAME OVIs) of project Purpose.
 2. Causes: Reasons for each problem; what "explains" failure by each Indicator. This includes the effects of External Factors (problems, complications), if any, on project implementation.
 3. Unexpected Results: Unplanned negative effects, outcomes, consequences of the project, if any.

Of course, some 2nd Paragraphs may consist entirely of one type of information (e.g., positive) or the other (e.g., negative).

However, few projects achieve complete success (or complete failure) on all indicators of Purpose achievement. Similarly, both positive and negative causes, external factors, and unexpected results often occur side by side.

EXAMPLE OF SECOND PARAGRAPH

(A) MFM's ANP will be highly successful, say the evaluators. (B1) In less time/resources than planned, MFM has reached 40 of 50 villages; enrolled 33% more children than expected; and secured local food donations beyond minimum needs. (B2) Success is due to well-received information campaigns, timely establishment of feeding centers, and full integration into Government of Tanzania (GOT) rural nutrition programming. Unexpectedly, ANP has benefited from GOT's 1982 local nutrition-education program. (B3) In turn, ANP has created new interest in kitchen gardens -- 25% more gardens than a year ago. (C1) On the negative side, ANP has not developed a client registry or project monitoring system.

3. THIRD PARAGRAPH:

The 3rd Paragraph focuses, as possible, on Output-level achievements.

Outputs are "less" important than Purpose results. So, information on Purpose/EOPS may comprise all/most of the 2nd and 3rd Paragraphs, even at the expense of Outputs. If Output information cannot be combined with Purpose information, the abstract may refer the reader: "Details on Outputs are in the Report."

The 3rd Paragraph follows the format of the 2nd:

- A. SUMMARY: Summary of authors' assessment of project's success/failure in producing Outputs; or Inputs if Outputs not applicable.

- B. PROJECT SUCCESS: Degree of achieving project Outputs.
 1. Type of Success: Review of achievements by each Indicator (LOG-FRAME OVIs) of project Outputs.
 2. Causes: Reasons for each achievement; what, for each Indicator, "explains" success. This includes the effects of External Factors, if any, on project implementation. These are like "Assumptions" in the LOG-FRAME -- outside project control.
 3. Unexpected Events: Unplanned positive events, if any, resulting from project delivery.

- C. PROJECT FAILURE: Degree of failing project Outputs; or Inputs if Outputs not applicable.
 1. Type of Failure: Review of under-achievements by each Indicator (LOG-FRAME OVIs) of project Outputs.
 2. Causes: Reasons for each achievement; what, for each Indicator, "explains" failure. This includes the effects of External Factors, if any, on project implementation.
 3. Unexpected Events: Unplanned negative events, if any, resulting from project delivery.

As above, some 3rd Paragraphs may have only one type of information (e.g., positive) or the other -- often due to uneven reporting of positive and negative achievements, causes, external factors, and unexpected results.

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EXAMPLE OF THIRD PARAGRAPH

(A) Timely delivery of most project Outputs aids ANP success:
(A1) 25 trained GOT staff, supplies, and godowns were provided as agreed. (B1) However, GOT supplied only one-third of the grains planned, reducing the bulk and quality of servings but stimulating ANP staff to seek larger local donations. (B2) And a national technician's strike delayed A/V materials, (B3) which reduced the impact of the information campaign.

NOTE REGARDING 2nd AND 3rd PARAGRAPHS

Because some information is more important than others, not all items described above in PARAS 2 and 3 will be included in all abstracts.

Further, some reports will not have all of the information desired on achievements, problems, causes, external factors, or unexpected results.

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4. FOURTH PARAGRAPH:

The 4th Paragraph concludes the abstract. As possible, it focuses on "lessons learned" from the present project for use in future projects. Also, if space permits, the 4th Paragraph may carry recommendations and other summary comments of the authors.

As possible, the 4th Paragraph may include several of the following points:

A. LESSONS LEARNED (positive and negative):

Evidence found in this project that may benefit others elsewhere with respect to:

- 01 -- Project costs/benefit costs/cost-effectiveness
- 02 -- Institution-building/capability
- 03 -- Sustainability/viability
- 04 -- Benefit distribution/equity/spread effects
- 05 -- Replicability
- 06 -- Local participation
- 07 -- Leadership development
- 08 -- Innovation diffusion/technology transfer
- 09 -- Policy implications
- 10 -- Collaboration/networking with other agencies
- 11 -- Host government service integration
- 12 -- Other

B. RECOMMENDATIONS:

Findings are more important to report than recommendations, which presuppose findings and which sometimes are the obverse of findings.

Lessons learned are more important than recommendations, which are future actions and, thus, face uncertain implementation.

If space is limited, recommendations can be noted generically: "Eight recommendations are given to improve project operations."

C. OTHER COMMENTS:

Any other important issues not addressed above.

EXAMPLE OF FOURTH PARAGRAPH

(A) Lessons: integration with government food programming and information campaigns can, if government is viewed favorably, add unexpected strength to PVO efforts. However, the project shows again that control over key components (A/V materials) is desirable; and that response to field exigencies is weakened by poor monitoring.

EXCEPTIONS TO THE RULES

Because different AID assessments may have different objectives, abstracting guidelines may vary by the type of document. For example:

1. In abstracting a Project Evaluation Summary (PES), always write the narrative to take into account the "Action Decisions" shown on the PES Facesheet. This may be at the expense of other priority content.
2. In abstracting an Audit Report, take most information from the initial summary and the final list of recommendations. Here, recommendations are very important, possibly taking precedence over findings.
3. In abstracting a Final Report, emphasize project overall success/failure by its Purpose, and the reasons therein. This may be at the expense of information on Outputs.

Finally, the next page pulls together the four paragraphs in the previous text (on pp. 12, 15, 17, and 19) given as examples of abstracting an interim evaluation of a fictive ANP project in Tanzania.

EXAMPLE OF A FULL-TEXT ABSTRACT

Evaluates the interim achievements of the MFM applied nutrition program (ANP) to develop a rural supplementary feeding program for children 0-5 years of age in 50 villages in the Southern Region of Tanzania.

MFM's ANP will be highly successful, say the evaluators. In less time/resources than planned, MFM has reached 40 of 50 villages; enrolled 33% more children than expected; and secured local food donations beyond minimum needs. Success is due to well-received information campaigns, timely establishment of feeding centers, and full integration into Government of Tanzania (GOT) rural nutrition programming. Unexpectedly, ANP has benefited from GOT's 1982 local nutrition-education program. In turn, ANP has created new interest in kitchen gardens -- 25% more gardens than a year ago. On the negative side, ANP has not developed a client registry or project monitoring system.

Timely delivery of most project Outputs aids ANP success: 25 trained GOT staff, supplies, and godowns were provided as agreed. However, GOT supplied only one-third of the grains planned, reducing the bulk and quality of servings but stimulating ANP staff to seek larger local donations. And a national technician's strike delayed A/V materials, which reduced the impact of the information campaign.

Lessons: integration with government food programming and information campaigns can, if government is viewed favorably, add unexpected strength to PVO efforts. However, the project shows again that control over key components (A/V materials) is desirable; and that response to field exigencies is weakened by poor monitoring.

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APPENDIX D

CODES FOR ABSTRACTS

A. DOCUMENT:

o Report Number:

_____ 7-digit code + "I" (Interim) or "F" (Final).

_____ Total Pages; 4-digits + "p" and (.).

/ / _____ = "S" if this supersedes a doc. + DIS No.
of that document.

B. DIS NUMBER (DIS only)

C. TITLE:

1. Type of Document:

14 _____ Project Evaluation Report (PER)

15 _____ Project Evaluation Summary (PES)

[incl: old #10 -- Project Appraisal Report
(PAR)]

17 _____ Special Evaluation Report (SER)

[incl: Interim Evaluation & Mid-term
Evaluation???

18 _____ Audit Report (AR)

68 _____ Final Report (FR)

99 _____ Trip Report/End of Tour Report???

2. English Title: _____

3. Translations:

00 _____ None

01 _____ Spanish

02 _____ French

03 _____ Arabic

99 _____

4. _____ Country Code (project locations)

_____ Country Code

_____ Country Code

_____ Country Code

5. Activity:

- 01 Agriculture/Nutrition/Rural Development
- 02 Population
- 03 Health
- 04 Education/Human Resource Development
- 05 PVO (incl: small enterprise, energy, environment,
urban development)
- 06 Technology/Skills Transfer

D. AUTHORS:

- 1. _____
- 2. _____
- 3. _____

E. DATES (Month/Year):

___/___ to ___/___ : Project
___/___ to ___/___ : Evaluation
_____ : Evaluation weeks
___/___ : Report

F. FUNDING

- 01 (MG) Matching Grant
- 02 (IDG) Institutional Development Grant
- 03 (ISG) Institutional Support Grant
- 04 (CG) Consortium Grant
- 05 (OPG) Operational Program Grant
- 06 (MSG) Management Services Grant
- 07 (OG) Other Grants
- 08 (CA) Cooperative Agreement

G. METHODOLOGY:

- 01 Project/Institutional Records
- 02 Site Visit/Observation/Discussion
- 03 Interviews: HQ/Agency Staff
- 04 Interviews: Project Field Staff
- 05 Interviews: Host Government Officers
- 06 Interviews: Other Country Informants
- 07 Interviews: Beneficiaries
- 08 Sample Survey
- 09 Longitudinal Surveys w/o Controls
- 10 Longitudinal Surveys w/Controls
- 11 Other Field Methods (e.g., Case Study, Focused Groups, etc.);
Specify: _____

H. LOG FRAME LEVEL:

- 01 Goal
- 02 Purpose
- 03 Outputs
- 04 Inputs

I. AGENCIES:

1. Implementing Agency:

NAME: _____
 _____ ACRONYM _____ CODE

NAME: _____
 _____ ACRONYM _____ CODE

2. Sponsoring Agency:

NAME: _____
 _____ ACRONYM _____ CODE

NAME: _____
 _____ ACRONYM _____ CODE

J. SOURCE:

o Contract/Grant No.

"A"+ _____ (7 Digits) Contract Author

"E"+ _____ (7 Digits) Contract Evaluated.

K. AVAILABILITY:

1. Translated Titles:

00 None

01 _____

02 _____

2. Document:

01 Alone

02 Series

03 ??

04 ??

99 _____

3. Related titles:

00 None

01 (DIS No.): _____

02 (DIS No.): _____

03 (DIS No.): _____

04 (DIS No.): _____

4. Availability:

01 Unrestricted/Publicly available

02 AID Only: Limited distribution

5. USG source:

01 PVC

02 DIS

03 AID Bureau/Office/Mission

04 GPO

05 ??

99 Other

6. Outside Sources:

00 None

01 Commercial publisher

02 University/Foundation/Association

03 Host Government

99 Other??

L. FIRST PARAGRAPH: Has 8 info items:

- (1) The information activity.
- (2) The temporal limits of the activity.
- (3) The acronym of the implementing agency.
- (4) The generic type of programming.
- (5) The Log-Frame purpose of the project being evaluated.
- (6) The number and type of target beneficiaries.
- (7) The location and probable reach of the project.
- (8) The country.

Example: (1) Evaluates the (2) interim achievements of the (3) MFM (4) applied nutrition program (ANP) to (5) develop a rural supplementary feeding program for (6) children 0-5 years of age in 50 villages (7) in the Southern Region of (8) Tanzania.

Example: (1) Audits the (2) final results of the (3) IEF (4) blindness prevention program (BPP) to (5) optimize the costs of curative and preventative blindness treatment in (6) the general hospital and two eye clinics serving residents with impaired vision in 35 villages (7) in the Malyalam Tehsil of (8) Kerala, India.

Example: Evaluates the preliminary results of the BSA small-scale enterprise project (SSE) to develop economic self-sufficiency among married women, ages 15 to 49, who initiate home-based cottage industries in urban and rural communities of the Hadja mountain region of Northern Nepal.

2ND PARAGRAPH (PURPOSE)

and

3RD PARAGRAPH (OUTPUTS)

A. Summary

B/C. Success/Failure: (degree of achieving)

1. Type of success/failure by OVIs
2. Causes: what explains S/F
includes "external factors"
3. Unexpected results/consequences

4TH PARAGRAPH (CONCLUSION)

A. Lessons

- costs
- institution-bldg
- sustainability
- benefit distribution/spread
- local participation
- leadership development
- tech.transfer
- policy implications
- collaboration
- host gov't integration

B. Recommendations (if space)

C. Other