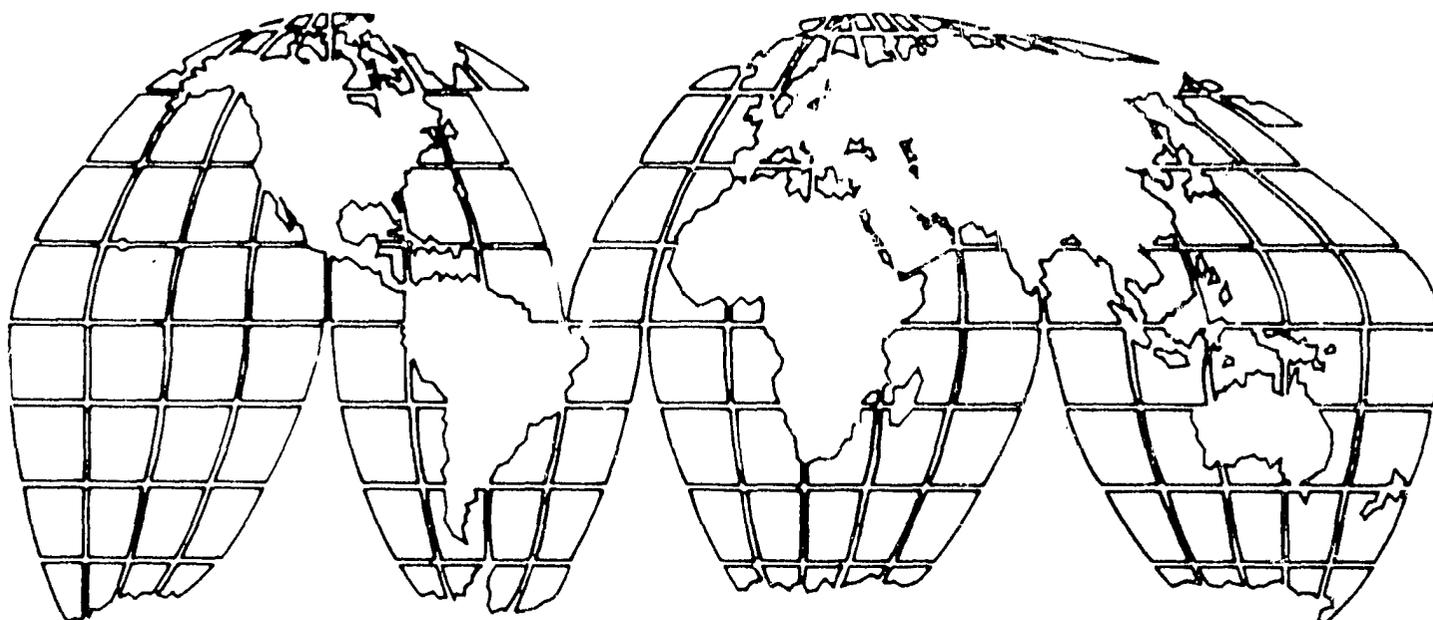


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SYNTHESIS OF A.I.D. EVALUATION REPORTS:
FY 1985 AND FY 1986



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CENTER FOR DEVELOPMENT INFORMATION AND EVALUATION
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SYNTHESIS OF A.I.D. EVALUATION REPORTS:
FY 1985 AND FY 1986

A.I.D. EVALUATION OCCASIONAL PAPER NO. 16

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The views and interpretations expressed in this report are those of the authors and should not be attributed to the Agency for International Development.

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FOREWORD

This report represents the second effort sponsored by the Bureau for Program and Policy Coordination/Center for Development Information and Evaluation (PPC/CDIE) to synthesize evaluation studies submitted by Missions and offices and covers 212 studies from the FY 1985 to FY 1986 period. The synthesis concentrates on deriving "lessons learned" from the overall findings of these studies and a more in-depth review of selected cases. It focuses on the following five topics:

- Implementation constraints
- Sustainability
- Role of women in development
- Environmental impact
- Impact on the private sector

About 60 percent of the evaluation studies reviewed in the report were interim evaluations. Obviously, a final and more accurate reading on such issues as sustainability will only be possible later as the projects achieve full operation or after they are completed. However, by examining several leading factors that are likely to influence the eventual sustainability of these activities and their benefits, the report alerts us to possibilities for action.

Several of the report's conclusions confirm what we already know intuitively. Nevertheless, although some problems may be widely known, their continued prevalence suggests that they remain too frequently neglected in our approach to program planning, design, and implementation. Here, too, a clearer understanding of these problems alerts us to the possibilities for addressing the problems rather than accepting them as inevitable constraints on program implementation and achievement.

The report also confirms the continuing difficulty we have in capturing consistent information on aspects of our experience from the variety of evaluation studies generated through our decentralized evaluation system. The 212 evaluation reports in many cases confronted reviewers with the problem of trying to compare "apples and oranges": from reports of varying quality and scope, the reviewers attempted to draw out the evidence on the five issues listed above. There were enough instances of "missing data" to lead the reviewers to conclude that "overall, it appears that A.I.D. is not clear about exactly what information it wants in, or from, evaluation reports." The guidance in the new A.I.D. Evaluation Handbook can help us resolve this dif-

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ficulty. But we also need to follow through on the "core" questions developed for evaluation and on the scopes of work that require our evaluators to address those questions.

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SUMMARY

PURPOSE, PROCEDURES, AND SCOPE OF EVALUATION SYNTHESIS

Purpose

The objective of this comprehensive review of evaluation reports from FY 85 and 86 was to provide PPC/CDIE with a substantive analysis and synthesis of findings and lessons learned relative to five key topics:

- Implementation constraints
- Sustainability
- Role of women in development
- Impact on the private sector
- Environmental impact

This analysis was expected to serve two major purposes for A.I.D.:

- Provide a distillation of recent experience together with an identification of patterns of both problems and successes, for future application in program design and management
- Provide PPC/CDIE with data needed to support the OECD/DAC initiative in examining three cross-cutting issues during program evaluations sponsored by member donor agencies

Procedure

Devres reviewed 212 Evaluation Reports (ERs) using a rating form jointly developed with A.I.D. This rating form assessed the significance of more than 40 variables or subtopics related to the five topics noted. A scale of +5 to -5 was devised to rate various variables. A rating of +5 denoted high positive significance; a rating of -5 indicated strongly negative significance. A rating of 8 or 9 was used for "Not applicable" or "Not observed." Ratings were based on information found in the ER only. The data generated by the rating forms was organized into a computerized database.

DESCRIPTIVE CHARACTERISTICS OF THE PROJECTS AND
EVALUATION REPORTS REVIEWED

Characteristics of Projects Identified in Evaluation Reports

This study is based on the experiences of 212 projects evaluated by A.I.D. FY 85 and 86. In terms of distribution by bureau, nearly 40 percent of the projects were from the ANE bureau. The AFR and LAC bureaus were equally represented with 29 and 28 percent of the reports respectively. The PRE, FVA and S&T bureaus together accounted for just 4 percent of the total. ERS from 50 countries are represented in the universe. In terms of the sectoral breakdown, 52 percent of the project ERS reviewed were in ARD; 19 percent were in SDA; 14 percent were in EHR; and another 14 percent in HEA and POP together. The project life and size as stated in the ERS varied greatly. Overall nearly 60 percent of the ERS indicated a life of project (LOP) of more than five years; 23 percent had LOP three to five years; 19 percent had a LOP of one to three years. The projects reviewed varied in size. The largest percentage of smaller projects was in AFR and the largest percentage of large projects was in ANE.

Characteristics of the Evaluation Reports

The evaluation reports in this universe varied widely in structure and content. Two thirds of the evaluations were undertaken in FY 85; about 30 percent in FY 86. Over 60 percent of the ERS reviewed were "interim," 30 percent were "final" and only 7 percent were "ex post." More than three-fourths of the evaluations reviewed were performed externally using contractors, or host country personnel or a combination of either or both of these with or without A.I.D. staff. For the universe as a whole, nearly 40 percent of the evaluations were performed by U.S. contractors.

From the reviewer's perspective, "good" evaluations were those that included at a minimum an Executive Summary, distinct sets of Conclusions and Recommendations and Lessons Learned. Other important criteria, particularly for reference, were the inclusion of a Table of Contents, the Evaluation Scope of Work (SOW), a discussion of the evaluation methodology and specific pertinent design information. Nearly 90 percent of the ERS included Recommendations but only two-thirds included Conclusions and about half had Lessons Learned. Roughly 75 percent included an Executive Summary and Evaluation Methodology but only half included the Evaluation Scope of Work. Less than 25 percent included any design documents.

There were wide disparities in both the quantity and quality of the written ERS with little conformity to any particular pat-

tern of organization or content. Few addressed A.I.D.'s "four pillars"; even fewer discussed environmental, private enterprise, or WID impact. Overall, it appears that A.I.D. is not clear about exactly what information it wants in, or from, evaluation reports. If A.I.D. is trying to "track" progress on WID, PRE or environment issues, this does not appear to be understood by the evaluators or the Missions requesting evaluations. The evaluations are overwhelmingly descriptive of "events" that took place in a project's life cycle. It is the exception that a clear-cut analysis explains why something went well or poorly. With this in mind, CDIE may want to consider more explicit guidelines for "impact" analysis on certain issues of importance to the Agency

KEY PATTERNS AND FINDINGS

Implementation Constraints

Pattern of ratings. Ratings were made on 200 of the 212 ERS regarding overall implementation constraints. Only negative overall ratings were made, given the "negative" nature of the concept of constraints. Forty-two percent (84) of the 200 ERS rated received strongly negative ratings (-3 to -5), one-quarter of these or 10 percent of the 200 received -4 and 30 percent -3 ratings. Subtopics receiving the highest percentage of strongly negative ratings were:

- Timing and adequacy of borrower or grantee (B/G) staffing or budgeting for project (76 ERS--36 percent)
- Quality of project design (66 ERS--31 percent)

The proportion of all other subtopics given strongly negative ratings was less than 25 percent.

Key findings. ERS which received ratings indicating minimal overall implementation constraints were associated with:

- Strong project management
- Well-defined roles, relationships and responsibilities in the project design or early in the LOP
- Project activities that addressed needs clearly perceived by both project participants and beneficiaries

Highlights of the computerized statistical analysis of the ratings included the following:

- Project design quality had a strong influence on A.I.D.-B/G-contractor relations and on the understanding of project purpose by A.I.D. and B/G organizations
- No significant differences in the level of implementation constraints for projects begun before and after FY 83, despite the change in A.I.D.'s approach to project design and implementation in 1983

ERs which received strongly negative overall ratings exhibited the following characteristics:

- Key implementation constraints were inadequately identified or addressed.
- Project activities were not clearly directed toward specific objectives.
- Roles, relationships and responsibilities among the TA team, the Government and/or USAID were not defined or were inadequately defined.
- Clear commitments from participating agencies were not obtained.
- TA team leaders/members were too burdened with administration and management to provide effective guidance on achieving overall impact.
- Local conditions were not well reflected in the design of the project.

Other key findings included the following:

- Ensuring B/G understanding of and commitment to necessary institutional capacity--and even initiating a degree of institution-building--at the design stage strengthens project performance.
- Good project design includes an overall strategy effectively linked to the sequence of project actions.
- TA teams with specialists able to address the full nature and range of constraints faced by the project will reduce implementation problems.
- Strong leadership of the TA team and/or of the B/G institution is important to smooth project implementation.

Sustainability

Pattern of ratings. Overall sustainability ratings were made against a full spectrum of options from -5 to +5 on 198 ERs out of the total universe of 212. Highly positive overall sustainability ratings were accorded to 24 ERs or slightly over 11 percent. Strongly negative overall ratings were assigned to 53 ERs or 25 percent of the total reviewed while those in medium ranges (-2 to +2) totaled 121 or 57 percent.

Among subtopics rated, those receiving the largest percentages of highly positive ratings overall were the following:

- Acceptance of technology (66 ERs--31 percent)
- Strength of project constituency (50 ERs--24 percent)
- Host country policies (44 ERs--21 percent)

The subtopics that had the largest percentages of strongly negative ratings overall were the following:

- Organizational/institutional capacity for continuation of project benefits (72 ERs--34 percent)
- Financial provision for Operation and Maintenance (O&M) and recurrent/capital cost recovery (62 ERs--29 percent)
- Development of management capacity (47 ERs--22 percent)

The Regional Bureaus showed the following patterns in overall project sustainability ratings:

- ERs with highly positive ratings as a percent of all ERs in that bureau were as follows: AFR - 13, LAC - 10, ANE - 7
- ERs with strongly negative ratings as a percent of all ERs in that bureau were as follows: AFR - 34, ANE - 22, LAC - 19

Overall sustainability ratings were also disaggregated by Sector. Within the total universe, population projects had the largest percentage of highly positive ratings (30) followed by EHR (17), HEA (16), SDA (11) and ARD (9). ERs for HEA projects had the highest percentage of strongly negative ratings (47) followed by SDA (35), POP (30), EHR (26), ARD (21). Of the 24 ERs with highly positive overall ratings, 42 percent were in ARD; 25 percent in HEA/POP together; SDA and EHR each accounted for 16 percent. Of the group of 55 projects that received strongly negative sustainability ratings, 40 percent were in ARD, 22 percent in HEA/POP; and 24 percent in SDA.

Key findings

-- A.I.D. concern with sustainability

- More attention was given to "sustainability" as an issue in the ERs for FY 85 and 86 than in the ERs reviewed for the FY 84 evaluation synthesis of lessons learned.
- Forty percent of the 50 ERs from FY 85 - 86 examined intensively for sustainability addressed the issue directly.
- Among the universe of 212 ERs reviewed for this synthesis, enough information was available to provide overall ratings on sustainability for 198 (93 percent) of the cases.
- Insights provided by ERs for FY 85 - 86 on the issue of sustainability were generally implicit and dispersed under other topics.

-- Institutional factors

- Whether institutions were "new" or "already existing" at the time projects were initiated did not appear to strongly influence sustainability.
- Explicit plans and programs to strengthen the management and financial capacity, human resources and linkages of key institutions at the beginning of a project were primary factors in achieving sustainability.

-- Grass-roots participation

- Projects seeking to address the needs of large and dispersed beneficiary groups appeared to be strengthened by the participation of these beneficiaries in program planning and implementation process especially in projects concerned with such activities as irrigation, water supply, health services delivery and family planning.
- Grass-roots organizations were observed to falter if support was withdrawn before the groups were fully consolidated.
- Changes in the needs and expectations of beneficiary groups were observed as a factor requiring flexibility on the part of support institutions.

- Involvement of locally respected institutions and leadership were seen as important to successful and sustainable grass roots programs.
- Mobilization of local community support was seen as vital to the development of innovative programs (e.g., family planning) and was fostered by education through local contact persons who enjoy respect in the community.

-- Strength of project constituency

- A strong project constituency is a useful asset but not the most important to sustainability.
- Constituency support flourishes best in the context of policies favorable to development and under leadership which encourages their participation and evidences a commitment to equity.

-- Management capacity

- Development of management capacity within institutions was moderately correlated with overall sustainability.
- Development of management capacity was accomplished in projects which had explicitly designed programs to achieve improvement in that area.
- Personnel who received technical training were sometimes promoted to management functions without explicit training to prepare them for those responsibilities.

-- Linkages among institutions

- Institutions whose primary function is the provision of services are especially dependent on their capacity to forge forward linkages to client organizations.
- Backward linkage to a training institution was observed to be important in meeting human resource requirements critical to sustainability.
- Linkages with institutions providing collateral services was shown to be an effective means of delivering key project outputs especially with incentive payments to encourage cooperation by the personnel of the collaborating body.

-- Technology

- Technology acceptance was weakly correlated with overall sustainability in the ERs reviewed.
- Technology was not well accepted in instances when it was perceived as expensive, difficult to maintain or not well understood by the intended users.
- Technology acceptance was best when the users saw immediate advantages, were trained to carry out O&M, felt they controlled the action and believed its costs (initial and O&M) were reasonable.
- A strong indigenous institution was observed to be important in maintaining the effective use of a new technology.
- Technologies sometimes failed because they had not been locally tested and adapted despite prior successful use in another similar setting.

-- Cultural factors. For projects in traditional socio-cultural environments, adaptation to local cultural settings was important--fostering success when projects were well adapted and inhibiting the achievement of project purposes and sustainability when local traditions were not taken into account.

-- Policy environment. Policies of the host country had a significant influence on overall sustainability in a majority of the 50 ERs intensively reviewed. Of the 33 ERs in the sample with strongly negative overall sustainability ratings, 19 were adversely affected by host country policies; among the 17 ERs in the sample with highly positive overall sustainability ratings, 16 were influenced by supportive policy environments.

-- Financial support

- Financial provision for O&M and recurrent/capital cost recovery were among the factors found to be fairly strongly correlated with overall sustainability. Among the 50 ERs in the sample, 15 out of 17 with strongly positive overall sustainability ratings had good prospects for post-project financial support; 26 of the 33 strongly negatively rated ERs had poor prospects.
- Overall financial stringency prevailed in many countries where projects in the universe of 212 ERs were

operating. This had a strong negative impact on prospects for project-level financial support.

- User fees and other special devices to provide for post-project financial support were rare among the universe of 212 EKS reviewed.

-- Human resource development

- Human resources constraints contributed to the poor overall sustainability prospects in half (16 of 33) of the ERs in the sample with strongly negative overall ratings. Among the 17 highly positively rated ERs in the sample, 10 had better-than-average human resources capacity.
- In the universe as a whole, human resource limitations were a constraint (along with budgetary factors) in moving toward sustainability in approximately one-third of the ERs reviewed. Budget stringency was a contributing factor to the recruitment and retention of adequately skilled personnel.

-- Project design. Project design was identified as a factor inhibiting sustainability through

- Inadequate provision for development of management, human resources and financial capacity
- Excessive expectations and projection of achievements relative to resource commitments
- Primary focus on short-term outputs rather than longer term results

Women in Development (WID)

Patterns of ratings. This study examined the impact of activities on WID as discussed in the ERs. WID was a major purpose of 31 (15 percent) of the 212 projects for which ERs were reviewed. By region these WID-purpose projects were distributed as follows: 16 in ANE, 8 in AFR, 5 in LAC, and 2 were non-regional projects. Of all the projects within a given region, ANE had the largest percentage of WID projects (19) followed by AFR (13) and LAC (8). In terms of the distribution of WID projects by sector, 12 (38 percent) were in ARD, 10 (33 percent) in HEA/POP, 7 (20 percent) in EHR and 2 (7 percent) in SDA and Multiple. Ninety percent of WID-purpose projects started before FY 83 in contrast to 75 percent for the total universe.

For the projects that did have WID as a major purpose, more than one-third had highly positive overall ratings in terms of their impact on women. The LAC bureau had the highest percentage (60) of WID-purpose projects with highly positive ratings followed by AFR with 38 and ANE 30 percent respectively. Where WID was not a major purpose, 3 percent received highly positive overall ratings in terms of impact on WID and 77 percent had insufficient information to provide a basis for a rating.

Major Findings. A sample of 20 projects reviewed in depth included 18 with WID as a major purpose and two where WID was not a major purpose. Within the sample, 60 percent had highly positive WID ratings while 25 percent were negative. Key factors supporting highly positive WID ratings included the following:

- Strengthened locally based women's institutions were involved in project management.
- Women as participants were included in project design/implementation.
- Services for women were extended to rural areas.
- Training was tailored to women's needs.
- Women benefited directly.
- Women were empowered with new economic or social status, etc.

Negative ratings resulted from such factors as:

- Target beneficiaries were not reached.
- Socio-cultural/institutional settings were poorly understood.
- Obvious gender-specific differences were ignored.

Environment

Pattern of ratings. A total of 212 ERs was reviewed to determine the impact on the environment of the activities evaluated. Projects for which some observation about overall impact on the environment was made numbered 61 (29 percent), of which 14 (23 percent) received a highly positive rating while one of these received a strongly negative overall rating; the rest were in the intermediate range. The overall impact ratings for 34 projects with environment as a major purpose included 11 (32 percent) with highly positive ratings. The achievement of "benefits planned" in the project design was given highly positive ratings on 11 ERs

(34 percent out of 32 cases rated on this issue) which also had environment as a major purpose. Of the 212 ERs received, 20 percent included some observation of unplanned environmental impact, of which most were negative.

Key findings. Projects receiving highly positive overall ratings on environmental impact (regardless of kind of project) had the following characteristics:

- Strong institution-building components
- Provision for strong medium-term economic motivation for participants to adopt improved resource management practices

The gathering and managing of useful information for the planning, monitoring and evaluation of environmental impacts was considered important for ensuring that natural resources are well-managed and that adverse impacts do not result for development activities.

Private Sector

Pattern of ratings. Private enterprise development (PRE) was a major purpose for activities covered by 45 ERs (21 percent) of the 212 cases reviewed. Of those 45, there were 10 (22 percent) which had highly positive ratings while 4 (9 percent) had strongly negative ratings. Of 167 ERs covering projects for which PRE was not a major purpose, 1 percent had highly positive impacts on the private sector and 11 percent received strongly negative ratings. Nearly 30 percent of PRE-purpose projects had highly positive ratings for achievement of planned benefits and number of entrepreneurs involved--13 percent for employment and value-added and 7 percent for impact on poor wage earners. Of non-PRE purpose projects, 13 percent reported impact on the creation of employment.

Key findings. Key findings arising out of the review of this topic included the following:

- Many A.I.D. projects are not designed explicitly to achieve certain desired impacts such as employment creation.
- Evaluation procedures are not adequate to capture the failure of projects to generate such desired impacts.
- Quality-of-design received the greatest percentage (32) of strongly negative ratings for PRE-purpose projects.

- Favorable impacts are likely to be more significant for employment and value added if PRE is a specific purpose of a project.
- Supportive host country policies enhance the impact of PRE activities.
- Successful PRE projects have focused on a very limited subset of easy-to-reach developing country entrepreneurs. Future projects will have to include those faced with more difficult and complex development constraints.
- Based on ERs reviewed, PRE projects that deal with broad issues affecting the private sector tend not to involve the private sector directly in such efforts and, to date, have resulted in less immediately observable impact on PRE development than more narrowly focused projects.

LESSONS LEARNED

Implementation Constraints

- Inadequate understanding of, and responsiveness to, local conditions--including institutions, infrastructure, and physical, social, and political factors, among others--contributes to faulty design and to increased problems in project implementation.
- Management capability is critical to good project implementation. Effective management can be provided by B/G institutions if appropriately supported by technical assistance and USAID. Where needed support has not been well identified during the design stage, expatriate implementation teams or advisors may themselves be required to carry out key project activities, as opposed to supporting the B/G and strengthening its capacity to carry out such activities.
- Effective coordination among the various project actors, including B/G agencies, A.I.D. and other donors, and technical assistance contractors, enhances project implementation. Effective coordination is enhanced where roles, relationships, and responsibilities are well-defined and clear commitments made at the time of project design.
- Good implementation is enhanced when key relationships among project activities are clearly defined and well-understood by project participants. Project design

should ensure that each activity is clearly directed towards an objective and that means are in place to ensure that the project actors responsible for that activity are committed to the objective.

- Overall project progress towards objectives is enhanced when those in leadership positions, e.g., technical assistance team leaders, have good administrative support and are able to devote most of their energies to providing overall direction and guidance. In complex projects, this requires fuller administrative support than is often provided.
- Counterpart staff are frequently not in place, not recruitable, inadequately trained or are lost for lack of adequate incentives. As a result, progress in implementation is inhibited and technical assistance cannot be effectively delivered.

Sustainability

- Host country policies which do not support project objectives are likely to inhibit sustainability. While supportive policies are helpful, project design remains critical to the success of a project.
- Financial resources adequate to sustain benefits for the future are critical to sustainability and are attained mainly through conscious programming for the continuance of such resources as the project is formulated and executed.
- Human resource limitations are a frequent cause of a shortfall in reaching project goals. To overcome the problem, a plan must be developed and executed to recruit and/or train and maintain a staff and to establish linkages to institutions that will be able to supply future needs for trained staff.
- Project design is the critical point at which project sustainability must be built in to an activity by projecting a clear path to a set of goals essential to the continued flow of a stream of benefits after external support is withdrawn.

Women in Development

- Locally based women's organizations can often be good partners in the implementation of WID projects.

- Training programs that focus on specific needs of female participants in design, content and organization are more effective.
- The availability of detailed, in-depth knowledge about a given institutional or socio-cultural setting contributes to both the successful design and implementation of a project.
- The extension of effective services in health, agriculture, small scale enterprise or education, etc. to women in rural areas can lead to an improvement in women's economic and social status.
- Effective income-generating programs for rural (or urban) women require considerable doses of administrative support and managerial training.
- Gender differences are frequently ignored in projects unless WID is a major purpose of the project.

Environment

- Successful environmental and natural resource projects require strong institutions and sufficient resources (technical, management, and financial) for institution-building.
- Changing local-level natural resource management practices--e.g., agricultural production and forest management--requires strong incentives. However, tangible short- to medium-term benefits are sufficient to induce change to improved resource management technologies.
- Environmental problems can occur as a result of any and all development activity. Positive impact of the project is enhanced by outreach and the development of working relationships with non-natural resource agencies.
- Environmental problems are often linked to each other and must be addressed through an approach that embraces all elements of inter-related problems.
- Effective planning enhances opportunities for beneficial impacts. Most seriously negative environmental impacts can be foreseen and acted upon more effectively through a broader planning perspective during project design.
- Environmental and natural resource management are not generally addressed fully during design implementation or evaluation of A.I.D. projects.

Private Enterprise

- Desired impacts of PRE projects need to be explicitly planned for and evaluated if such projects are to realize and document achievement of important A.I.D. objectives such as employment generation and income increases for the poor.
- To enhance the impact of PRE projects, the number of entrepreneurs affected by each project needs to be as large as possible.
- Host country policies highly supportive of private enterprise development are a major determinant of the success achieved by PRE projects.
- WID concerns need to be an explicit part of PRE projects in which they are significant to increase the impact of such projects on private sector development. PRE projects should account for WID concerns more explicitly in order to enhance the mutuality of WID and PRE activities.
- PRE concerns need to be a more explicit part of each A.I.D. project in which they are significant to increase the impact of such projects on private sector development.
- Successful PRE projects have addressed narrow constraints with specific project inputs and activities; future projects may have to deal with multiple and more pervasive development constraints faced by the majority of entrepreneurs.
- Decentralization of PRE related activities and building on the capacity of existing formal institutions (such as commercial banks) enhances the impact of PRE projects.

GLOSSARY

AFR	- Bureau for Africa, A.I.D.
A.I.D.	- Agency for International Development
ANE	- Bureau for Asia and Near East, A.I.D.
ARD	- agriculture, rural development, and nutrition sector
B/G	- borrower or grantee
EHR	- education and health resources sector
ER(s)	- evaluation report(s)
ES/PES	- USAID-prepared Evaluation Summary or Project Evaluation Summary
ESF	- Economic Support Fund
evaluator(s)	- The person(s) who carried out the evaluation of the project and wrote the ER
FVA	- Bureau for Latin America and the Caribbean, A.I.D.
HEA	- health sector
HIG	- Housing Investment Guarantee
IO	- international organizations
LAAD-CA	- Latin American Agribusiness Development - Central
LAC	- Bureau for Latin America and the Caribbean, A.I.D.
LDC	- developing country(ies)
LOP	- life of project
MLT	- multiple (refers to projects, sectors, countries or project)
MOPH	- Ministry of Public Health
NOAA	- National Oceanographic and Atmospheric Administration

GLOSSARY (cont.)

O&M	- operation and maintenance
P/E	- private enterprise
PACD	- Project Activity Completion Date
PASA	- Participating Agency Service Agreement
PCV	- Peace Corps Volunteer
PHC	- primary health care
POP	- population/family planning sector
PRE	- private enterprise or private sector development
PRE Bureau	- Bureau for Private Enterprise, A.I.D.
PVO	- private voluntary organization
rating form	- The form used by Devres to record significance ratings
RCUP	- Resource Conservation and Utilization Project (in Nepal)
reviewer	- The Devres staff member who reviewed the ER and prepared the rating form
S&T	- Bureau for Science and Technology, A.I.D.
SDA	- selected development activities "sector"
SDP	- Sahel Development Program
SME	- small- and medium-scale enterprise
SOW	- scope of work
SSE	- small-scale enterprise
TA	- technical assistance or technical assistance team
WID	- women in development
WWB	- Women's World Banking

1. INTRODUCTION

1.1 Purpose, Procedure, and Scope

1.1.1 Purpose

The objective of this comprehensive review of Evaluation Reports (ERs) from FY 1985 and FY 1986 was to provide PPC/CDIE with a substantive analysis and synthesis of findings and lessons learned relative to five key topics:

- Implementation constraints
- Sustainability
- Role of women in development
- Impact on the private sector
- Environmental impact

This analysis was expected to serve two major purposes for A.I.D.:

- Provide a distillation of recent experience together with an identification of patterns of both problems and successes, for future application in program design and management
- Provide PPC/CDIE with data needed to support the OECD/DAC initiative in examining three cross-cutting issues during program evaluations sponsored by member donor agencies

1.1.2 Procedure

The approach to this large effort to review in-depth over 200 A.I.D. evaluations was developed jointly by CDIE and Devres staff. CDIE provided Devres with the evaluation reports undertaken in FY 85/86 that were to be reviewed. CDIE also specified the descriptive and substantive data that it wanted to identify and gather on each of the evaluation reports to be reviewed and processed. A matrix was designed to include:

- A listing of FY 85/86 evaluation reports by Bureau, sector and country
- Descriptive data about the projects/programs evaluated and about the evaluation reports themselves

- Substantive information on five topics and selected sub-topics (one to three) under each topic

The final Evaluation Synthesis Rating Form was organized so that all the data could be entered into a computerized database and subsequently manipulated to develop many different matrices of data on the evaluation report. Ultimately, eight to 13 (not one to three) subtopics were identified for each of the five main topics.

1.1.3 Scope

Devres was provided with 371 reports for review. Ultimately, 212 were selected for in-depth review and analysis and entered into the database. The other 159 reports were eliminated from the review process for one or more reasons, including the date of evaluation (evaluations conducted in 1984 or earlier were eliminated), subject matter (e.g., HIGs), size (under \$500,000) or other factors identified by A.I.D. The 212 reports were reviewed and ratings were assigned a variety of topics and sub-topics. As discussed under Methodology below, the statistical data generated by the ratings plus the narrative in the Evaluation Reports was analyzed and an average sample of 20 reports for four of the topics was selected for in-depth analysis of Lessons Learned. Due to the need for more analysis on sustainability 50 reports were selected for in-depth analysis of that topic.

1.2 Methodology and Statistical Analysis

1.2.1 Overall Approach

Devres and PPC/CDIE collaborated in developing the approach to this synthesis project. The major topics were clarified early on and informal consultation occurred throughout the process about the various subtopics to be included and about the conceptual and analytical structure of the synthesis.

After discussion with CDIE of the content of this synthesis, it was decided that the task would be carried out by a limited group of full time employees of Devres, all of whom had worked together for some time. All have multi-disciplinary development experience in a wide range of fields, functions and countries in all regions of the world. All have been involved in project identification, design, implementation and evaluation of development projects and share a concern for successful work among low-income people in developing countries. With this approach we were able to ensure that a variety of substantive perspectives on

all the key issues would be brought to bear regardless of who conducted the review of a particular evaluation.

Moreover, at the outset of the process of reviewing the Evaluation Reports, several "pilot" tests were run with several different reviewers rating the same evaluation, discussing the results and evolving a common approach. This resulted in a large measure of agreement and consistency of understanding.

From time to time over the life of this activity there were further consultations among the group of reviewers to discuss and resolve issues. We believe this has resulted in a coherent basis for the subsequent statistical analysis of the whole universe and for the more detailed review of the selected samples under each major topic. We also believe that this approach led to a high degree of consistency and intellectual integrity despite the wide range of topics, issues, countries and reviewers involved.

1.2.2 Selection of Topics for Review

Devres was guided in its development of this synthesis primarily by the Scope of Work (SOW) with its clear specification that the primary concern was with an analysis of the following five topics:

- Implementation constraints
- Sustainability
- Role of women in development
- Environmental impact
- Impact on private sector

In addition, over 40 subtopics were identified related to the five main topics. The subtopics related to Implementation Constraints were specified in the Statement of Work, the others were discussed and agreed upon between Devres and PPC/CDIE over the course of the review. Definitions were prepared for each topic and subtopic and a general consensus was arrived at on these definitions (see Annex 4). In addition, over 23 descriptive characteristics of the projects/programs evaluated as well as the Evaluation Reports themselves covering those activities were also specified in the SOW and sources for the data were agreed upon.

Some supplementary materials were made available by A.I.D. to amplify the nature of the topics although they were not required to be covered by our tabulated significance ratings.

These memoranda related in particular to the nature of the issues involved in sustainability, implementation constraints and women in development. The analysis treats all issues raised to the extent that information contained in the Evaluation Reports (ERs) sheds light on the issues.

1.2.3 Development of the Rating Form

Based on the requirements of the SOW in the Work Order, a rating form was devised which would capture in a Matrix A and a Matrix B all of the descriptive elements pertaining to the projects and the Evaluation Reports and the ES/PES documents which accompanied many (but by no means all) of the reports. These appeared on a face page on the Rating Form. A five-part Matrix C was developed to cover the substantive topics to be rated.

On five subsequent pages, each of the five topics and their respective subtopics were set out in a manner to permit a numerical significance rating or other appropriate response to be recorded. Responses to significance ratings were given on a scale of 10 entries, +5 to -5. In the case of Implementation Constraints only negative ratings were entered for the "overall" rating on the theory that a "constraint" could by definition only be negative. On consideration at a late stage of the process some feeling had arisen that a scale of -5 to +5 would have been more useful for statistical analysis of the overall implementation rating. A statistical "proxy" was developed for this purpose. Implementation subtopics were rated on the scale of 10 entries, i.e. +5 to -5. Other questions were given a "Yes/No" response where appropriate and provision was made for "not observed" (9) or "not applicable" (8) entries as appropriate when the ER gave no basis for a response or it was not relevant in the particular case.

The forms also provided for notations on the issues related to the topics/subtopics on each page to facilitate analysis at a later stage and for comments on issues not related to the subtopics. One problem with the rating forms was the lack of mutual exclusivity of some of the subtopics. However, the reviewers took this into account in their analysis. Copies of the ER Rating Form and the guidelines for using it are included in Annex 3.

1.2.4 Significance Ratings of Topics and Subtopics

Each of the 212 evaluation reports (ERs) was carefully reviewed and the significance of topics/subtopics, as noted by the project evaluator in the evaluation report, was rated on a scale of +1 to +5 for positive influence (with +1 indicating

little or no significance and +5 denoting high significance). The scale also included ratings for negative influence from -1 to -5 parallel to the positive scale. Thus, a rating of +5, for example, reflects the Devres reviewer's notation of the ER's determination of high positive significance of the influence or impact of any given topic or subtopic on the activity evaluated. Similarly, a rating of -5 indicates high negative significance of the influence or impact of the topic or subtopic on the project, as indicated by the evaluation report. Ratings of 8 or 9 were given to topics/subtopics listed on the rating form when an issue was respectively "not applicable" or "not observed" in the evaluation. With a few exceptions, the reviewers assigned ratings on the basis only of the information in the evaluation itself.¹ If a given topic was not noted, an "8" or "9" was the rating.

For the purposes of simplifying both statistical and written analysis, the ratings were grouped into three categories of significance:

- +3 to +5 impact or influence of highly positive significance
- -3 to -5 impact or influence of strongly negative significance
- +2 to -2 impact or influence of modest or no significance

The development of various numerical matrices was based on these groupings and the testing of statistical significance and strength carried out among the "groups." For the in-depth analysis, individual evaluation reports were selected on the basis of their individual (not group) ratings for review. Efforts were made to carefully select reports that had either very high or very low significance ratings on a given issue so as to discern to the extent possible from the material in the selected reports, the causes and explanations for project/program results found by the evaluators.

¹Two noteworthy exceptions relate to a question asked regarding both WID and PRE impact. That question was, "If WID (or PRE) was not a major purpose of the project, should WID (or PRE) have been a major concern?" Since virtually none of the evaluation reports addressed that issue but A.I.D. was interested in an answer, the reviewers answered the question "yes" or "no" on the basis of their own understanding of the project. Another exception relates to beneficiaries. Many evaluation reports did not clearly specify the beneficiaries of a project. In order to glean as many insights as possible into project impacts, the reviewers noted the obvious beneficiaries even if not explicitly identified as such.

ERs varied dramatically in quality, coverage and structure. The directness and precision with which a topic was covered sometimes required considerable judgment in making a rating of significance. The review team sought not to introduce the reviewer's views but instead to attempt to reflect what the evaluation report presented. Some limited measure of inference was sometimes required to provide a specific rating. It was our position, however, that the ratings for any topic/subtopic should still rest on the report's findings as directly as possible.

1.2.5 Computerized Statistical Analysis

In order to gain insight into the nature of relationships among the five primary topics, of the selected subtopics on the primary topics and among the subtopics under each heading, a computerized statistical analysis was undertaken. While this was not seen as the main basis for deriving findings it offered a potential guide to reviewers in identifying or highlighting relationships which would merit review and examination in depth. Statistical conclusions were treated with caution in all instances in recognition of the problems of using parametric measures as the basis for statistical analysis and especially the application of regression techniques. Nevertheless certain features of the methodology for deriving the basic topic and subtopic ratings suggest that such analysis would have validity as a point of departure for further consideration of various issues.

The primary reasons for believing that a statistical analysis would be useful and valid are:

- The overall ratings for the 5 primary topics were derived independently from the subtopic ratings.
- Full consideration was given to all the evidence presented in the particular ER (including factors not among the subtopics actually rated) to arrive at the overall ratings for the 5 primary topics. Relevant implicit information on overall topics was also considered.
- Subtopic ratings were provided by the reviewer only where information was sufficiently clear and explicit to directly support the rating. By treating the correlations and regressions conservatively and basically as a starting point for analysis a balance is maintained. Yet because the ratings were made independently they can be treated as independent variables and subjected to correlation and regression analysis. The methodology used for this computer-based statistical analysis is presented in Annex 5.

1.2.6 Limitations of This Analysis

Every effort has been made to ensure that the findings and lessons learned stated in this report are accurate and reasonable in light of the data available in the Evaluation Report documents. Conclusions regarding cause and effect as well as lessons learned have been drawn cautiously so as to faithfully report what can be learned from various development project experiences for the purpose of helping to improve the planning, design, implementation and management of development assistance programs.

However, for a variety of reasons, the applicability of the results of the analysis must be carefully considered. First, since almost all of the Evaluation Reports were generated through A.I.D.'s decentralized evaluation system, the reports varied greatly in terms of the specific issues addressed in each evaluation, the scope and depth of the analyses contained in each report, and the quality and reliability of the data used to support the findings in the Evaluation Reports. The important point here is that this review and analysis was limited by the overall substance and quality of the reports reviewed. Approximately 20 percent of the reports were rich in detail on all topics relevant to a particular project; another 20 percent had very little detail upon which to base a rating. The reviewers inevitably recorded many "9s" (not reported) on some topics or subtopics not covered in the Evaluation Reports. This was not necessarily because a topic was totally insignificant but rather because the evaluators did not deal with it in the written Evaluation Report. Some topics were generally "not applicable" and were recorded accordingly (8).

Since the reviewers did not draw upon any project information outside the Evaluation Report itself the significance of the impact of a particular topic or subtopic could not be determined unless it was related in the ER. Reviewers sought to apply reasonable judgments to information in the ERs but generally avoided making inferences simply to give a rating to a topic. The inability to obtain information from any source other than the ER (due to limitations of time and funding and by agreement with A.I.D.) was a significant constraint to gaining comprehensive insight into projects under review and the influence or impact of particular topics and subtopics.

Second, the Evaluation Report universe for this study was not drawn from a "scientific" random sample of all projects ongoing (i.e., that could theoretically have been evaluated) during the time period (FY 85/86) under review. The 212 evaluation reports from FY 85/85 constitute 17 percent of the 1244 active projects and "non-project" loans, grants and CIPs (excluding proposed projects) in AFR, ANE and LAC missions or other offices

pertinent to the two years under review.² The universe includes those project evaluations that were completed during FY 85/86 that were available to CDIE and met certain criteria. It does not include evaluations undertaken in FY 85/86 for small projects under \$500,000, for Housing Investment Guarantee (HIG) Projects, pre-FY 85 evaluations or reports not considered to be essentially evaluative in nature. Thus, this universe provides a "snapshot" of only a part of A.I.D.'s program.

Third, the 212 evaluation reports were reviewed and rated by four people each of whom, because of their own experience, may have interpreted the significance of any given element in any given report somewhat differently. Thus, the significance ratings could be slightly skewed by one or two points depending on what a given reviewer considered "significant." However, the four analysts who had different, yet complementary, experiences in many different areas of development, have worked together for more than five years and share some common viewpoints on development projects. During the course of this study, the reviewers compared their results on projects and found their ratings to be generally consistent.

Fourth, there is wide variation in the purposes of the evaluations reviewed and in the issues to which they devoted primary attention. There is some possibility that the evaluations may tend to be skewed toward identifying problems and negative findings rather than successes. For example, evaluations are often triggered because A.I.D. staff believed that there are problems with a project, have reservations about its efficiency or effectiveness, or uncertainty about its continued relevance to a development strategy in the sector. Offsetting this possible negative bias in some interim evaluations is an apparent tendency of evaluators to be "kinder" or more constructive in their findings, conclusions and recommendations, i.e. to give the project the "benefit of the doubt."

Fifth, the projects under review in evaluations carried out in FY 85/86 have seldom been initiated since the major structural, policy and management reforms were put in place by A.I.D. in 1983. At most they would be Interim evaluations at an early (even formative) stage of project life. As a result, not too much significance should be read into the results in terms of the impact of those reforms. This has particular relevance to the assessment of implementation constraints.

Sixth, and finally, errors in data entry have undoubtedly occurred despite careful efforts to proof and edit the database as it was being accumulated. All that were identified were cor-

²This figure does not include Central Bureau Projects as they did not figure prominently in the set of evaluation reports under review.

rected. Despite the few errors that may remain, we are confident that this is only a minor source of error.

1.3 Descriptive Characteristics of the Projects and Evaluation Reports Reviewed

1.3.1 Characteristics of Projects Identified in Evaluation Reports

This study and analysis is based on the experiences of 212 projects evaluated by A.I.D. FY 85 and 86. Table 1 shows the distribution of these projects by bureau and by sector. Nearly 40 percent of the projects were from the ANE bureau. The AFR and LAC bureaus were about equally represented with 29 and 28 percent of the report respectively. The PRE, FVA and S&T bureaus accounted for just 4 percent of the total. ERs from 50 countries are represented in the universe. One country (Egypt) had 21 ERs; four countries (Botswana, Zaire, Dominican Republic, and Jordan) had eight to ten ERs apiece. In addition, there were 25 multiple country ERs. Table 2 lists the ERs by bureau and country.

Overall, in terms of the sectoral breakdown of ERs in the universe, 52 percent of the ERs reviewed were for projects in ARD; 19 percent were in SDA; 14 percent were in EHR; and another 14 percent in HEA and POP together.³ In terms of regional distribution, each region accounted for roughly one-third of the ARD projects reviewed. ANE accounted for about 50 percent of the EHR and HEA, and POP projects and 37 percent of the SDA projects overall. AFR accounted for 40 percent of the HEA projects. Within each region the percentages are a little different. While ARD accounted for about half of the total projects within the AFR and ANE bureaus they accounted for nearly 60 percent of the LAC

³This distribution is based on the official A.I.D. classification wherever possible according to recent A.I.D. Congressional Presentations. For ESF- and SDA-funded activities, the reviewers' assignment of a project to a sector was based on the information in the ER. No sectoral breakdown figures are available for A.I.D.'s portfolio of projects active in FY 1985 and/or FY 1986 similar to the Bureau breakdown. It is not possible to derive this figure because SDA and ESF projects are not distributed by sector and because many projects funded by DA sectoral appropriation categories do not reflect the real substance of the projects, e.g. some health projects are POP funded; some rural development projects are health-funded, etc.

Table 1. Project Characteristics Identified in Evaluation Reports, by Bureau and Sector

a. Percent. by Bureau

<u>SECTOR</u>	<u>AFR</u>		<u>ANE</u>		<u>LAC</u>		<u>OTHER</u>		<u>TOTALS</u>	
ARD	33	54%	39	47%	34	58%	4	44%	110	52%
EHR	5	8%	14	17%	9	15%	1	11%	29	14%
HEA	8	13%	9	11%	3	5%	0	0%	20	9%
MLT	1	2%	1	1%	0	0%	0	0%	2	1%
POP	3	5%	5	6%	1	2%	1	11%	10	5%
SDA	11	18%	15	18%	12	20%	3	33%	41	19%
	<u>61</u>	100%	<u>83</u>	100%	<u>59</u>	100%	<u>9</u>	100%	<u>212</u>	100%

b. Percent. by Sector

<u>SECTOR</u>	<u>AFR</u>		<u>ANE</u>		<u>LAC</u>		<u>OTHER</u>		<u>TOTALS</u>	
ARD	33	30%	39	35%	34	31%	4	4%	110	100%
EHR	5	17%	14	48%	9	31%	1	3%	29	100%
HEA	8	40%	9	45%	3	15%	0	0%	20	100%
MLT	1	50%	1	50%	0	0%	0	0%	2	100%
POP	3	30%	5	50%	1	10%	1	10%	10	100%
SDA	11	27%	15	37%	12	29%	3	7%	41	100%
TOTALS	<u>61</u>		<u>83</u>		<u>59</u>		<u>9</u>		<u>212</u>	
	29%		39%		28%		4%		100%	

1/ The category "Other" includes ER's from PRE, FVA, and S&T.

Table 2. List of Evaluation Reports by Bureau by Country

<u>Bureau</u>	<u># of Evaluations</u>	<u>Bureau</u>	<u># of Evaluations</u>
<u>AFR</u>		<u>ANE</u>	
BOTSWANA	9	BANGLADESH	1
BURUNDI	1	EGYPT	21
CAMEROON	1	INDIA	3
CENTRAL AFRICAN REPUBLIC	1	INDONESIA	7
CONGO	4	JORDAN	8
EQUATORIAL GUINEA	2	MALAYSIA	1
GHANA	1	MOROCCO	5
KENYA	6	MULT	5
LIBERIA	3	NEPAL	3
MALAWI	1	OMAN	1
MOZAMBIQUE	1	PAKISTAN	6
MULT	6	PHILIPPINES	3
NIGER	4	POLAND	1
RWANDA	1	PORTUGAL	1
SOMALIA	1	SRI LANKA	6
SOUTH AFRICA	1	THAILAND	7
SUDAN	2	TUNISIA	1
SWAZILAND	1	YEMEN	3
TANZANIA	1		
ZAIRE	9	subtotal	83
ZAMBIA	2		
Subtotal	61	<u>PRE</u>	
		KENYA	1
		MULT	3
		THAILAND	2
		subtotal	6
<u>LAC</u>		<u>FVA</u>	
BELIZE	2	MULT	1
BOLIVIA	4	subtotal	1
COSTA RICA	2		
DOMINICA	1	<u>S&T</u>	
DOMINICAN REPUBLIC	10	BOLIVIA	1
ECUADOR	1	PHILIPPINES	1
EL SALVADOR	3	subtotal	2
GUATEMALA	5		
HAITI	3	TOTAL	212
HONDURAS	6		
JAMAICA	3		
MULT	10		
PANAMA	2		
PERU	7		
subtotal	59		

projects reviewed. Projects in the EHR sector accounted for roughly 16 percent of the total projects reviewed for both ANE and LAC bureaus. However, EHR projects constituted only 8 percent of AFR projects. Projects in SDA accounted for 18 to 20 percent of the projects in each of the three regions.

The project life and size as stated in the ERs varied greatly. As Table 3 indicates, overall nearly 60 percent of the ERs indicated a LOP of more than 5 years; 23 percent had LOP three to five years; 19 percent had a LOP of 1 to 3 years. Of all 3 to 5 year projects, the AFR bureau had the largest percentage (42 percent); among all ANE had the largest percentage (44 percent) of "more than five year" projects; and LAC and ANE each 37 percent of the 1 to 3 year projects. Within each of the bureaus, 50 to 66 percent of the projects had a life of more than five years. Approximately 75 percent (159 of 212) of the projects began in FY 82 or earlier.

The projects described in the 212 ERs under review varied in size. Not surprisingly the size of projects in general correlated with the LOP. About 48 percent of "very large" projects (in excess of US \$10 million) were undertaken in the ANE bureau, followed by LAC with 30 percent. The largest percentage of projects with a size ranging from US \$3 to 10 million, were also carried out by ANE followed by AFR with 33 percent of projects in this range. Of the smaller projects (US \$1 to 3 million), 44 percent were in AFR; 32 percent in ANE. LAC and AFR bureaus each carried out about one-third of the smallest size (less than US \$1 million) projects. In sum, the largest percentage of smaller projects was in AFR and the largest percentage of large projects was in ANE.

1.3.2 Characteristics of the Evaluation Reports

The evaluation reports in this universe varied widely in structure and content. As Table 4 indicates, two thirds of the evaluations were undertaken in FY 85; about 30 percent in FY 86. Over 60 percent of the ERs reviewed were "interim," 30 percent were "final" and 7 percent were "ex post." Thus, many of the comments regarding project implementation and/or sustainability were essentially "partial" as the evaluator was stepping into the project at some early or mid- "point" and did not generally have the long-time perspective that might have been found in a final or ex post evaluation. This fact is important to remember in terms of the lessons learned from this evaluation review. They generally do not provide as much in-depth insight into a project because they are based on shorter time frames.

More than three-fourths of the evaluations reviewed were performed externally using contractors, or host country personnel

Table 3 Characteristics of Project Life & Size Identified in Evaluation Reports, by Bureau

A. <u>FY Project Began:</u>					
	AFR	ANE	LAC	OTHER	TOTAL
1983 or later	17	9	14	5	45
1982 or earlier	42	69	44	4	159
N/O	2	5	1	0	8
	<u>61</u>	<u>83</u>	<u>59</u>	<u>9</u>	<u>212</u>
D. <u>Project Life by Region</u>					
	AFR	ANE	LAC	OTHER	TOTAL
1 to 3 years	10	14	15	1	40
3 to 5 years	20	14	9	5	48
More than 5	31	55	35	3	124
	<u>61</u>	<u>83</u>	<u>59</u>	<u>9</u>	<u>212</u>
Percentage of Column					
	AFR	ANE	LAC	OTHER	TOTAL
1 to 3 years	16.4%	16.9%	25.4%	11.1%	18.9%
3 to 5 years	32.8%	16.9%	15.3%	55.6%	22.6%
More than 5	50.8%	66.3%	59.3%	33.3%	58.5%
	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>
C. <u>Project Size by Region</u> (US\$ million)					
	AFR	ANE	LAC	OTHER	TOTAL
Less than \$1	20	12	19	6	57
\$1 to \$3 million	11	8	6	0	25
\$3 to \$10 million	14	19	9	0	42
More than \$10	14	30	19	0	63
N/O	2	14	6	3	25
	<u>61</u>	<u>83</u>	<u>59</u>	<u>9</u>	<u>212</u>
Percentage of Column					
	AFR	ANE	LAC	OTHER	TOTAL
Less than \$1	33.7%	14.5%	32.2%	100.0%	29.9%
\$1 to \$3 million	18.0%	9.6%	10.2%	0.0%	11.8%
\$3 to \$10 million	23.0%	22.9%	15.3%	0.0%	19.8%
More than \$10	23.0%	36.1%	32.2%	0.0%	29.7%
N/O	3.3%	16.9%	10.1%	0.0%	11.8%
	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>	<u>100.0%</u>

Table 4 . Characteristics of Evaluation Reports by Bureau

	Total #	% of Universe ¹	BUREAU			
			AFR	ANE	LAG	OTHER
A. Type of Evaluation						
Interim	132	62%	40	56	32	4
Final	64	31%	15	21	24	4
Ex Post	15	7%	6	6	2	1
N/A	1		0	0	1	0
B. FY Evaluation Completed:						
1984	8	4%	3	2	3	0
1985	142	67%	35	58	43	6
1986	60	28%	21	23	13	3
N/O	2	1%	2	0	0	0
C. Evaluation Performed:						
Internally	44	21%	16	16	12	0
Externally	164	77%	44	64	47	9
N/O	4	2%	1	3	0	0
D. Evaluation Team Composition						
Contractor	82	39%	17	21	39	5
AFD	21	10%	8	9	4	0
Mixed	41	19%	17	13	8	3
Host Country	2	1%	0	0	2	0
Host Country/AID	11	5%	4	7	0	0
Host Country/Contractor	28	13%	1	21	5	1
Host Country/Mixed	22	10%	12	9	1	0
Not Observed	5		2	3	0	0
E. Contents of Written Reports						
PES/ES Present	145	68%	43	51	50	1
Executive Summary	162	76%	46	65	42	9
Table of Contents	169	80%	45	68	47	9
Evaluation SOW	103	49%	30	42	22	9
Evaluation Methodology	159	75%	41	63	47	8
Conclusions	136	64%	41	58	29	8
Recommendations	188	89%	57	77	45	9
Lessons Learned	116	55%	34	47	30	5
Design Documents	51	24%	8	25	17	1

¹Note: Percentage is based on total universe of 212 projects. Percentages have been rounded.

or a combination of either or both of these with or without A.I.D. staff. For the universe as a whole, nearly 40 percent of the evaluations were performed by US contractors. Evaluation teams involving host country personnel constituted 30 percent of all the evaluation teams. The LAC bureau relied on outside contractors alone to prepare 66 percent of their ERs. The ANE bureau involved host country personnel more frequently (44 percent) than the other bureaus in their evaluation process though they involved US contractors about 40 percent of the time. The AFR bureau utilized the services of contractors, mixed A.I.D./contractor teams and teams with host country participants in about equal proportions.

From the reviewer's perspective, "good" evaluations were those that included at a minimum an Executive Summary, distinct sets of Conclusions and Recommendations and Lessons Learned. Other important criteria, particularly for reference, were the inclusion of a Table of Contents, the evaluation SOW, a discussion of the evaluation methodology and specific pertinent design information (such as a Logical Framework). Table 4 summarizes some of the contents of the ERs. Nearly 90 percent of the ERs included Recommendations but only two-thirds included Conclusions and about half had Lessons Learned. Roughly 75 percent included an Executive Summary and Evaluation Methodology but only half included the Evaluation Scope of Work. Less than 25 percent included any design documents. In terms of the inclusion of Conclusions, Recommendations and Lessons Learned, it appears, from an analysis of this universe, at least, that the AFR and ANE bureaus have produced the most "complete" evaluations.

In terms of which type of evaluation team delivers the most "complete" ER, the data shows no clear pattern. Table 5 shows some variation between types of teams and the ER delivered. Host country participation seems to be a "plus" particularly in terms of the detail which such individuals can provide.

1.3.3 Comments on the Evaluation Reporting Process

As noted above, there were wide disparities in both the substance and quality of the written ERs. Some were long and detailed; others short and general. There was little conformity to any particular pattern of organization or content. Few addressed A.I.D.'s "four pillars;" even fewer discussed environmental, private enterprise, or WID impact. Thus while many of the projects evaluated may have had an impact, for example, on women, there was little consistent detail about gender in the reports.

Sustainability received direct and purposive attention in a minority of ERs (e.g. in 40 percent of 50 ERs in the intensively

Table 5. Evaluation Report Contents by
Composition of Evaluation Team
 (percentage of total universe)

	Executive Summary	Conclusions	Recommendations	Lessons Learned	Table of Contents	Evaluation SOW	Evaluation Method	Design Documents
Contractor	77%	62%	87%	50%	87%	54%	78%	29%
AID	71	71	76	68	52	38	76	10
Mixed	80	56	98	59	93	51	76	27
II/AID	73	64	91	36	73	36	82	36
II/Contractor	79	76	93	49	90	62	76	21
II/Mixed	86	68	91	68	68	41	73	23
Host Country	50	50	50	50	50	--	50	--

studied sample). Few made clear references to whether sustainability had been a primary concern or goal in the original design of the project. There was sufficient information in the ERs to enable the reviewers to assign an overall sustainability rating in all but 14 of the 212 cases by using indirect insights from partial and scattered material in the reports. However, the quality of the information and analysis on sustainability would have been more focused and useful if the issue of sustainability had been a more deliberate concern of all the evaluations.

Overall, it appears that A.I.D. is not clear about exactly what information it wants in, or from, evaluation reports. If it is trying to "track" progress on WID, PRE or environment issues this does not appear to be understood by the evaluators or the Missions requesting evaluations. Little indication emerged that evaluators were more sensitive to these points in FY 86 when they were to be stressed than in FY 85. Inclusion of gender-specific data or information on such standard PRE "success" indicators as jobs created or income generated appear in the ERs more serendipitously than anything else and then usually in a descriptive, not analytical, mode. In fact, the evaluations themselves are overwhelmingly descriptive of "events" that took place in a project's life cycle. It is the exception that a clear-cut analysis explains why something went well or poorly. With this in mind, CDIE may want to consider more explicit guidelines for "impact" analysis on certain issues of importance to the Agency.

As for the ERs themselves, there is no common format in terms of organizing or presenting information or statistical data. Some begin with a project description and end with Conclusions and Recommendations; other ERs reverse the process. Some dwell on the methodology of the evaluation; others don't mention methodology at all. With this in mind, it might be helpful for the future to establish a "format" and "checklist" for ERs to facilitate analysis of their findings across a wide range of projects and special issues by bureau and by sector.

2. IMPLEMENTATION CONSTRAINTS

2.1 Overall Patterns

2.1.1 Introduction

Each of the 212 evaluation reports which Devres reviewed was to be given an overall rating from -1 (indicating little significance) to -5, based on the material in the evaluation report. (In fact, no project received a -5 rating for overall implementation constraints). Each of the 212 reports was also given a

rating, from -5 to +5, for each of eight principal implementation subtopics as listed below:

- Timing of procurement
- Timing in contracting team/technical assistance
- Contractor-A.I.D.-B/G relations
- A.I.D.-B/G understanding of project purpose
- Timing and adequacy of B/G staffing or budgeting for project
- A.I.D. flexibility/inflexibility in management of project
- Adequacy of monitoring
- Quality of project design

In addition, Devres reviewed each evaluation report with respect to several factors relating to the project schedule and length. Not all of the implementation subtopics received attention in all of the evaluation reports. For example, the two subtopics--"B/G staffing or budgeting" and "quality of project design"--were commented on in 85 percent of the reports. The two least frequently mentioned implementation subtopics were "A.I.D. flexibility" and "timing of procurement", each of which were commented on in about 61 percent of the reports.

In terms of overall ratings, ten percent (21) of the 212 reports received ratings of -4 and 30 percent (63) received ratings of -3, for a total of 84 reports (40 percent) in which projects evaluated had highly significant implementation constraints. The subtopics which received the highest percentage of strongly negative (less than or equal to -3) ratings were B/G staffing or budgeting (76, i.e., 36 percent) and quality of design (66, i.e., 36 percent). With one exception, no great differences were observed for the subtopics among projects carried out in different regions. However, quality of project design for projects in Africa was given a low significance rating more frequently (in 44 percent of the evaluation reports for projects in Africa) than for projects in the other regions.

Table 6 shows the frequency of ratings for Implementation Constraints overall and for the agreed subtopics under that heading.

Table 6: Implementation Constraints

Frequency of Ratings for the Universe of ERs
Reviewed - FYs 1985 - 1986

	<u>+3 to +5</u>	<u>-2 to +2</u>	<u>-3 to -5</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>
	(No. of Ratings)					
IMPLEMENTATION CONSTRAINTS--						
OVERALL RATING	0	116	84	1	11	212
TIMING OF PROCUREMENT	22	63	44	24	59	212
TIMING IN CONTRACTING TEAM/TAS	32	65	42	13	60	212
CONTRACTOR-AID-B/G RELATIONS	48	80	44	0	36	212
AID-B/G UNDERSTANDING OF PROJECT PURPOSE	64	66	46	0	36	212
TIMING AND ADEQUACY OF B/G STAFFING OR BUDGETING FOR PROJECT	28	82	76	3	23	212
AID FLEXIBILITY/INFLEXIBILITY IN MANAGEMENT OF PROJECT	40	73	16	0	83	212
ADEQUACY OF MONITORING	42	75	42	0	53	212
QUALITY OF PROJECT DESIGN	39	77	66	0	30	212
ADEQUACY OF PLAN FOR LOP	32	72	39	1	68	212
	<u>Yes</u>	<u>NO</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>	
DID EVALUATION INDICATE NUMBER OF MONTHS BEHIND SCHEDULE	86	126	-	-	212	
LIFE OF PROJECT APPROPRIATE	65	62	2	82	211	
DID EVALUATION INDICATE NUMBER OF YEARS RECOMMENDED BEYOND PACD	82	130	-	-	212	
PREMATURELY TERMINATED	5	200	5	1	211	

2.1.2 Statistical Analysis of Implementation Variables

A statistical analysis of the implementation constraint topic and subtopic rating was undertaken to provide general insights as a starting point for the more intensive analysis. It provided a sense of the nature and intensity of interrelationships among the factors but because of the inherent dangers of the use of parametric measures was not heavily relied on as the basis for the more intensive review of this or other topics. The methodology used and some of the more interesting outcomes of the statistical analysis of this topic are described in Annex 5. Perhaps the most significant conclusion from this analysis was that the quality of project design strongly influences A.I.D. B/G understanding of project purpose and relations among A.I.D., the B/G and the contractor.

The statistical analysis of relationships among the various implementation subtopics was carried out in three stages:

- Statements of preliminary hypotheses, based on the reviewers' impressions following an initial reading of the evaluation reports
- Derivation of a pairwise combination correlation matrix,⁴ which included sub-variables for implementation and for sustainability
- Tests of the strength of influence and statistical significance for a small subset of relationships which the above steps seemed to indicate might be important

The statistical analysis of the correlation of ratings for overall implementation constraints with each of the subtopics was made difficult by the truncated scale of the overall constraints, which included only negative values (-5 through -1). In order to enhance the correlation matrix analysis and subsequent regression analyses, a full-scaled (positive and negative) overall implementation constraint value was created based on a composite of the subconstraints: an unweighted linear combination of the eight subtopic variables.

One of the strongest findings of the statistical analysis was that two factors--the A.I.D.-B/G understanding of project purpose and good contractor-A.I.D.-B/G relations--are contemporaneously affected strongly by the quality of project design.

⁴The pairwise combination correlation matrix is simply the set of correlation coefficients for each pair of ratings, given both ratings have valid responses.

Any given level of understanding and relationship ratings was measurably and significantly improved by a good design.

The reviewers were asked to identify differences in project implementation between projects which began before FY 83 and those which began in FY 83 and later, i.e., when A.I.D. made a series of changes in its procedures designed to help improve project design and implementation. However, there was no significant difference between the means of each sample (i.e., of those projects beginning either before or after FY 83) or between the means of either sample and the mean of the whole population of 212 reports.

2.2 In-Depth Analysis

2.2.1 Overview of Sample

Following the overall rating of the full universe of projects, a sample of 20 projects was selected for which the evaluation reports had provided some specific comments on various aspects of the implementation process⁵. Most ERs were selected for this sample because they were rated as significant (either positively or negatively) with respect to implementation constraints. They were further narrowed down to those which contained more detailed and/or more in-depth treatment of implemen-

⁵The sample of projects for which evaluation reports were reviewed comprises the following: Burundi: Rural Roads (No. 695-0112); Ghana: Managed Inputs and Delivery of Agricultural Service (MIDAS) (No. 641-0102); Sudan: Rural Health Support (No. 650-0030); Botswana: Accelerated Impact Program--Borehole Drilling (No. 698-0410-21); India: Maharashtra Social Forestry (No. 386-0478); ASEAN Agricultural Development Planning Centre (No. 498-0258-11); Thailand: Northeast Small Scale Irrigation (NESSI): A Management Review (No. 493-0312); Yemen: Taiz Water and Sewerage Construction (No. 279-0039); Haiti: Agricultural Development Support II (ADS II) (No. 521-0092); Caribbean Agricultural Extension II (No. 538-0068); Peru: Agricultural Planning and Institutional Development (No. 527-0238); Caribbean Epidemiological Surveillance and Training (No. 538-0027); Kenya: Kenya Commercial Finance Co Ltd (NP); Thailand: Siam Commercial Bank Ltd (No. 940-0002-1); Somalia: Comprehensive Groundwater Development (No. 649-0104); Liberia: Small and Medium Scale Enterprise Development and Support (No. 669-0201); Rwanda: National Fish Culture (No. 696-0112); Pakistan: Tribal Areas Development (No. 391-0471); Sahel Data Network and Management II (AGRHYMET) (No. 625-0940); Nepal: Resource Conservation and Utilization (RCUP) (No. 367-0132).

tation constraints and subtopics. A representative mix of projects from different regions and sectors was also sought.

Many of the evaluation comments on implementation issues were directed at activities by specific actors--generally A.I.D., the borrower/guarantee (B/G), or the contractor. Two key activities which received comments generally directed at A.I.D.'s role were design and monitoring. An area of frequent concern--on which evaluators were not all in agreement--related strongly to the issue of sustainability. This was the degree to which (expatriate) project implementors must or should themselves carry out the tasks at hand as opposed to supporting the B/G, strengthening its capacity to carry out project-related activities. Evaluations of projects which aimed in significantly new directions highlighted further concerns. The following sections discuss some of the more important of these implementation issues.

2.2.2 Positive and Negative Ratings on Implementation

Projects which received positive ratings for overall implementation or for implementation subtopics generally shared a few common characteristics:

- Project management was strong and provided overall direction and on-going leadership, guidance, and support.
- Roles, relationships, and responsibilities were well defined and clear commitments made very early during the life of the project, and usually at the time of project design.
- Project activities were tied to needs which were clearly perceived by project participants and beneficiaries.

Projects which received negative ratings on implementation often shared one or more of the following characteristics:

- Key aspects of the local setting, including key constraints, were not well-identified or not addressed specifically during project design, and project resources were not provided to deal with specific constraints.
- Project activities were not clearly linked and directed to specific objectives.
- Roles, relationships, and responsibilities were not defined or were defined too broadly and clear commitments were not obtained.

- Technical assistance team leaders and occasionally members were so burdened by administrative and management tasks necessary for efficient implementation that they were unable to provide the overall guidance to project activities needed for effective impact.

2.2.3 Design Issues

Understanding the Local Setting. The most commonly encountered design issue was inadequate understanding of the local setting for the project. When local conditions were not well-reflected in all aspects of the design of the project, implementation constraints were increased. For example, in Pakistan, difficulties in implementing the Tribal Areas Development project were greatly exacerbated by the poor understanding of the politico-social context in a remote and highly unusual environment lacking effective government structures. In Sudan, the evaluation summary of the Rural Health Support project called for "sufficient field work at the design stage to ensure realistic strategies." Constraints--even basic physical constraints such as difficult transport--were not identified clearly and not responded to directly in the project design. A management review of Thailand's Northeast Small Scale Irrigation (NESSI) project noted problems due to a "lack of sensitivity" to socio-cultural factors in the project design and recommended that activities contain both a technological and a sociological component, including user group formation and the hiring of a full-time anthropologist fluent in the local language. The report felt that traditional local practices should not be viewed as a deterrent to development but rather as a base upon which development can occur. It also called for the preparation of all reports in the Thai language, with executive summaries in English.

The designs of two water development projects provide a striking contrast to each other. The design of Somalia's Comprehensive Groundwater Development project was not tailored to local conditions. Inappropriate equipment was selected and inappropriate procurement procedures were used. Assumptions regarding the share of water needs that could be met by groundwater development were invalid. The design of Botswana's Accelerated Impact Program--Borehole Drilling project identified appropriate equipment and ensured that local skills and capacity would be in place for operation and repair. Measures were developed for appropriate selection of well sites, e.g. with respect to trek routes.

Institution-Building. The importance of ensuring some degree of institution-building at the design stage was noted in several projects. The evaluation for the Burundi Rural Roads project noted the importance of getting the host country to

understand and be willing to operationalize its role in the project before the project began. In Thailand, the PRE Bureau's Siam Commercial Bank project was well-implemented largely due to the Bank's existing strengths in management, policy, finance, and procedures. Similarly, the Somalia Groundwater project failed to define a clear future role for the host country implementing agency at the design stage, which led to poor transfer of project activities to it by the end of the project.

Defining Relationships and Responsibilities. Poorly defined relationships and responsibilities among A.I.D., contractors, and/or host country agencies contributed significantly to implementation problems--weaknesses which, according to a number of evaluations, should have been addressed during project design. As noted above, the Somalia project did not define the B/G's role in and relationship to project activities clearly. In the Sahel, the Data Network and Management II (AGRHYMET) project defined the technical assistance provided through a PASA with NOAA far too broadly. In the ASEAN Agricultural Development Planning Centre project, A.I.D. B/G relationships were not clearly defined. The evaluation noted that one of the reasons for this was that the design was not subjected to the usual review process.

In some cases, effective relationships were developed despite insufficient clarification at the design stage. For example, the key to some successes against considerable odds in the Peru's Agricultural Planning and Institutional Development project was the establishment of strong relationships at high levels in the Ministry of Agriculture. (However, more routine liaison at lower levels was weak.)

Overall Integrated Strategy. In various ways, evaluation reports noted the importance of project designs having an overall strategy which effectively links together and sequences project activities. For example, the evaluation summary for the Sudan Rural Health Support project notes that even following a "revalidation study" of the project, the modified design still included a list of more than 100 activities with no significant effort to prioritize and sequence these for maximum complementarity, efficiency and impact. In Ghana, the design of the Managed Inputs and Delivery of Agricultural Services (MIDAS) project emphasized technical aspects too heavily, to the detriment of related management, marketing, accounting, and linkage factors. Despite the emphasis in some evaluation reports on the importance of linking activities effectively, at least one report (for the Peru Agricultural Planning project) notes the value in multi-component projects of having components which are not dependent on one another, i.e. the failure of one component does not mean the failure or delay of the others.

2.2.4 Technical Assistance

Team Composition. Team composition was one of the issue areas most frequently commented on with respect to the success or failure of technical assistance. This sometimes reflected on project design. In the Pakistan Tribal Areas project, the design's excessive technical focus led to poor selection of the implementation team, which was made up entirely of engineers working to develop physical infrastructure. In the Liberia Small and Medium Scale Enterprise Development and Support (SMEDS) project and in Ghana's MIDAS project, marketing and related expertise (management, accounting, etc.) were not sufficiently emphasized with respect to technical expertise. On the other hand, the Sahel AGRHYMET project evaluation report observed that three prior external evaluations had failed to note critical shortcomings, largely because there was insufficient technical expertise represented on the evaluation teams. In Haiti, the technical assistance team for the Agricultural Development Support II (ADS II) project was not well-enough integrated, with the social scientist particularly isolated from the largely technical activities of the rest of the team. The success of the project's farming systems research approach depended on such integration of the team's members.

Leadership and Direction. In the Caribbean Agricultural Extension, Phase II (CAEP) project, the most prominent aspect of the project's positive impact was the increased ministry attention to the extension division and administrative organization. The CAEP "forced ministries of agriculture to say what extension should do, to the point of getting plans and job descriptions-- which has never been done before...and to use the defined situation to effect changes." Some of the problems faced by the Haiti ADS project were due to insufficient overall direction from the Team Leader. The evaluators recommended that such a project requires a full-time administrator to free the Team Leader to provide overall guidance. Quantitative research carried out under the project, in particular, suffered from a lack of overall analytical guidance. Project activities were expanded to too many different agro-ecological zones before the research methodology was sufficiently well-developed. In the Sahel AGRHYMET project, the NOAA technical representative's effectiveness was hampered by the assignment of too many tasks outside his basic job description. The Peru Agricultural Planning project's "audacious" effort to create a demand for policy-oriented market analyses required strong leadership on the part of the technical assistance team as well as good relationships at high levels within the agricultural ministry. The first Chief of Party was removed because he could not provide the management leadership to form an effective advisory team. This was felt to be especially

important because the team's members had neither worked together before nor come from the contractor's lead university campuses.

Cross-Cultural Sensitivity. Lack of sensitivity to the local socio-cultural environment was strongly noted in the Thailand NESSI management review and was judged largely due to poor specifications for team selection, which should have included an ability to work in the language and cultural realities of Thailand. Other reports did not highlight cross-cultural sensitivity as a specific factor in technical assistance performance; the emphasis in many reports on the importance of local understanding to project design implies that this is an important factor, but one on which fewer problems were noted.

Timing. Significant delays in fielding or replacing technical assistance personnel was noted in 44 cases/slightly over 20 percent of the universe of ERS studied. Within the sample of 20 ERS examined for implementation constraints problems of time were observed, in the Sudan Rural Health Support and Peru Agricultural Planning projects. In the latter project, timing of advisors under one of the contracts generally reflected availability more than a plan. The departures of three of the long-term advisors were to come at a critical point--after procedures had been agreed upon, but before they had been implemented and staff trained in their use. Delays in recruitment and acceptance under another contract left both the contractor and the host country institution dissatisfied and the contract behind schedule.

2.2.5 Borrower/Grantee Support

Motivation and Incentives. The sample of evaluation reports reviewed noted the importance of tying project activity to clearly perceived needs and associated benefits to help ensure that effective B/G support was provided. This should begin at the design phase of the project and involve the clear definition of relationships and responsibilities. The Caribbean Epidemiological Surveillance and Training project demonstrated that, even in a multi-country project, member countries will support a regional organization which they perceive to be meeting a real need.

Five of the evaluation reports in the sample commented on the need to provide "incentives" to host country individuals who were involved in a given project. For example, low salary levels for personnel in the ASEAN Planning Centre project made it difficult to attract the level of talent required for the project. Similarly, the Peru Agricultural Planning project noted the "brain drain" problem and the post-design elimination of a Peru-

vian foundation which had previously been used as a mechanism to provide adequate salaries to senior persons in the public sector and the universities. However, in the Somalia Groundwater Development project, "topping off" of salaries for the small portion (ten percent) of the lead agency personnel involved in the project added to already existing intra-agency jealousies and helped increase the project's isolation from the rest of the agency's program.

In addition to salary, prestige coming from association with a high-profile project was a motivating factor for individuals, for example, in India's Maharashtra Social Forestry project where local staff were strongly supported by their department. In that project, too, capable leadership helped support high morale. In Thailand, the Siam Bank project noted a number of "interesting intangible elements", including "the 'glamour' of the A.I.D. connection..., the challenge of doing something unfamiliar and the knowledge that top management is watching."

Effective Working Relationships. Effective, well-established relationships with B/G institutions and personnel affected project implementation positively. As discussed above, defining relationships and responsibilities well contributed greatly to positive relationships between and among agencies participating in projects. Inter- and intra-agency tensions in the Somalia Groundwater project contributed to the Somali Water Development Agency's poor support for key project activities. The difficulty of coordinating and integrating the activities of a large number of agencies had a negative effect on the implementation of Nepal's Resource Conservation and Utilization project. Similarly, the many donors involved in Yemen's Taiz Water and Sewerage Construction project helped make implementation difficult and very complex.

The evaluation reports noted several instances where A.I.D. flexibility was a key factor in A.I.D.-B/G relationships. In the Botswana Borehole project, A.I.D. flexibility, supplier cooperation, appropriate equipment, and host country support and capability all worked together to improve implementation. On the other hand, NOAA's inflexibility in its technical assistance role under a PASA with A.I.D. in the Sahel AGRHYMET project seriously affected implementation. NOAA would provide no US inputs "until all host country inputs were delivered", guaranteeing that all delays were on "the critical path."

In the Rwanda National Fish Culture project, a poor B/G Project Director impeded project implementation to such an extent that the technical assistance took over de facto project administration and provided guidance and support to the counterparts at the field level.

2.2.6 Monitoring and Evaluation

The problems in monitoring the Sahel AGRHYMET project noted earlier (where three external evaluations failed to identify key contractor shortcomings) are illustrative of a number of weaknesses encountered in the monitoring of A.I.D. projects. The project had no effective problem identification capacity. There was no external evaluation prior to the design of a follow-on phase. A.I.D. provided minimal management input and that from an over-burdened and/or inexperienced staff. This, combined with poor record-keeping, resulted in no A.I.D. institutional memory over the course of the project. In the Pakistan Tribal Areas project, serious implementation constraints were left unaddressed partly because no systematic evaluation had been carried since project start-up in 1982 until the 1986 interim evaluation. The evaluation report noted the need for flexible implementation on A.I.D.'s part, coupled with systematic evaluation. In the Nepal RCUP, monitoring and evaluation systems focused on the use of monitoring as an implementation tool but not on evaluation as a tool to measure impacts.

2.2.7 The Role of A.I.D.: Implementing Projects or Building Capacity

The evaluation reports reviewed did not all agree on the degree to which (expatriate) project implementors must themselves carry out project activities in contrast to their role in strengthening B/G capacity to carry out those activities.

Many of the comments and recommendations in the evaluation reports deal with questions of who should have control, of budget, of technical assistance, and of inputs (e.g., procurement). The evaluation report for the Haiti ADS II project argued that a project needs independent control of its budget, as project goals may not coincide with host country goals. In the Sahel AGRHYMET project, evaluators noted that contractor technicians were spread far too thin to effectively control a "myriad of management and technical duties". In the Somalia Groundwater project, the evaluators faulted contractor logistics personnel for "simply getting the equipment and supplies" rather than "improving [emphasis in original]" the B/G agency's logistics systems.

ERS often noted that implementation was superior where a strong institution was selected to carry out the project. For example, the Siam Bank project evaluation report recommended that such institutions--with strong elements of management, policy, finance, flexibility, procedures, etc.--be sought out to imple-

ment private enterprise projects. (The report further noted that the project design was very good, flawed only regarding technical assistance, which the bank was unable to figure out how to use!) A.I.D.'s efforts in private enterprise development in the Kenya Commercial Finance project on the other hand, suffered from A.I.D. understaffing. In other cases, reports recommended that A.I.D. give additional support not generally provided under its normal operating guidelines. For example, in the Burundi Rural Roads project, the report recommended that heavy equipment for road-building be financed under the contract. In the Botswana Borehole project, however, A.I.D. and the B/G worked together on successful implementation through a project tailored very well to local resources and capabilities. In that case, A.I.D.'s flexibility helped facilitate rapid procurement of appropriate equipment during a drought emergency.

2.3 Lessons Learned

- Inadequate understanding of and responsiveness to local conditions--including institutions, infrastructure, and physical, social, and political factors, among others--contributes to faulty design and to increased problems in project implementation.
- Management capability is critical to good project implementation. Effective management can be provided by B/G institutions if appropriately supported by technical assistance and USAID. Where needed support has not been well identified during design, expatriate implementation teams or technical advisors may themselves be required to carry out key project activities, as opposed to supporting the B/G and strengthening its capacity to carry out such activities.
- Effective coordination among the various project actors, including B/G agencies, A.I.D. and other donors, and technical assistance contractors, enhances project implementation. Effective coordination is enhanced where roles, relationships, and responsibilities are well-defined and clear commitments made at the time of project design.
- Good implementation is enhanced when key relationships among project activities are clearly defined and well-understood by project participants. Project design should ensure that each activity is clearly directed towards an objective and that means are in place to ensure that the project actors responsible for that activity are committed to the objective.

- Overall project progress towards objectives is enhanced when those in leadership positions, e.g., technical assistance team leaders, are able to devote most of their energies to providing overall direction and guidance. In complex projects, this requires fuller administrative support than is often provided.
- Counterpart staff are frequently not in place, not recruitable, inadequately trained or are lost for lack of adequate incentives. As a result, progress in implementation is inhibited and technical assistance cannot be effectively delivered.

3. SUSTAINABILITY

3.1 Overall Patterns

3.1.1 Introduction

In examining the evaluations carried out during FY 85 and 86 with reference to sustainability, special emphasis has been given to institutional factors and to a series of other issues previously agreed to with A.I.D. Key issues examined include:

- Institutional factors
 - type and function
 - new vs. existing
 - grass roots participation
 - strength of constituency
 - leadership and management capacity and
 - linkages among institutions and with beneficiaries
- Technology adoption
 - cultural factors
 - policy environment
 - cost coverage and post-project finance
 - human resource development
 - implementation/sustainability relationships
 - project design
 - life of project
 - flexibility of management
 - technical assistance team composition.

This analysis is a combined response to the requirements of the scopes of work for sustainability under the Work Order issued by CDIE (W.O. No. PDC-0085-I-00-6095-00 #1) and the more comprehensive coverage called for by the additional tasks in a supple-

mentary Work Order (No. PDC-0085-1-00-6095-00 #4). A description and detailed statistical tabulations of the universe of evaluations with reference to sustainability and an in-depth analysis of 50 evaluations which received highly positive or strongly negative overall ratings for sustainability are included in this effort. This larger sample complies with the requirements of both Work Orders.

3.1.2 Sustainability Patterns for the Universe

Sustainability ratings were given for projects described in 198 individual ERs of the 212 report universe. Ratings ranged from -5 (strongly negative) to +5 (highly positive) in determining the likelihood that projects (at the time of evaluation) would achieve long-term viability. Sustainability ratings have been grouped into three categories: sustainability likely, for projects with highly positive overall ratings; sustainability unlikely, for projects with strongly negative overall ratings; and marginal sustainability cases for projects with average ratings (between -2 and +2). As one would expect, given normal distribution patterns, the majority of projects (56 percent or 119) fall within the category of average or marginal sustainability. Evaluations with highly positive sustainability ratings overall make up 11 percent of the ER universe, while ERs with strongly negative ratings comprised 26 percent of those reviewed.

Overall sustainability ratings were analyzed by bureau as noted in Table 7. Of the three regional bureaus, a higher percentage of projects in the AFR bureau (13 percent) received highly positive overall sustainability ratings than did projects in either the ANE or LAC bureaus which received highly positive ratings on 7 percent and 10 percent respectively. The AFR bureau also had the highest percentage of projects with strongly negative ratings followed by ANE and LAC. Both the ANE and LAC bureaus had larger percentages of projects in the "marginal" range than did the AFR bureau.

The overall sustainability ratings were also examined by sector. As noted in Table 8, the POP sector had the highest percentage of projects receiving highly positive overall sustainability ratings. ARD had the lowest percentage of projects with this rating. The HEA sector had the highest percentage of projects receiving strongly negative ratings, and ARD had the lowest percentage of projects with strongly negative ratings.⁷ Another way to look at this is to look "inside" the rating groups (e.g., +3 to +5, -3 to -5, etc.) to see which sector had the

⁷The two multiple sector projects are not considered here because of the small number of projects in this category.

Table 7. Overall Sustainability Ratings by Bureau

Bureau	Total No. Projects Rated	Highly Positive Ratings (%)	Strongly Negative Ratings (%)	Marginal Ratings (%)	Not Observed (%)	Total (%)
AFR	61	13	34	46	7	100
ANE	83	7	22	61	10	100
LAC	59	10	19	69	2	100
Other	<u>9</u>	45	33	11	11	100
Total	212					

Table 8. Overall Sustainability Ratings by Sector

Sector	Total No. Projects Rated on Issue ^a (%)	Highly Positive Ratings (%)	Strongly Negative Ratings (%)	Marginal Ratings (%)
ARD	106	9	21	70
EHR	23	17	26	57
HEA	19	16	47	37
MLT	2	-	100	-
POP	10	30	30	40
SDA	<u>37</u>	11	35	54
Total	197			

^aThe difference between number of projects rated and the universe of 212 ERs is a result of some projects receiving an 8 or 9 (i.e. "not applicable" or "not observed") rating on this issue.

highest percentages of highly positive and strongly negative ratings. Of the 24 ERs that indicated highly positive overall ratings on sustainability, 42 percent were in ARD; 25 percent were in HEA/POP together; SDA and EHR each accounted for 16 percent of the highly positive ratings. Of the group of 55 projects that received strongly negative sustainability ratings, 40 percent of those rated were in ARD; 22 percent in HEA/POP; and 24 percent in SDA.

Cross tabulation of ratings on selected sustainability subtopics with overall sustainability ratings shows some interesting relationships. For example, in terms of financial provision for O & M and recurrent/capital cost recovery, 12 percent of the 148 projects rated on this issue received highly positive ratings; over 40 percent received strongly negative ratings. Of the 17 projects receiving highly positive ratings for financial provisions for O & M, 70 percent also had high overall sustainability ratings.

On the subtopic, organization/institutional capacities for the continuation of project benefits, 15 percent of the 189 projects rated on the issue received highly positive ratings; nearly 40 percent received strongly negative ratings. Of the 29 projects with a high organization/institutional rating, 55 percent also had a high positive overall sustainability rating. Conversely, 66 percent of the 71 projects with a strongly negative organization/institutional rating also had strongly negative sustainability ratings.

Regarding strength of constituency, less than 30 percent of the 171 ERs rated on this issue had a highly positive rating. Over 50 percent had average or marginal ratings. These ratings were not closely correlated with high overall sustainability ratings. Table 9 presents frequency data on the ratings for overall sustainability and subtopics related to sustainability. It is essential that the reader understand the manner in which the ratings were made. The ratings on overall sustainability reflect all information in the ERs and is not merely a composite of the subtopic ratings. The latter were arrived at on the basis of specific comments in the ER.

3.1.3 Statistical Findings

The subcomponents of sustainability were analyzed statistically using regression techniques to measure the relative strength and statistical significance of their potential influence on overall sustainability. The evidence supports an assertion that sustainability is most strongly affected by the organizational and institutional capacities for continuation of project benefits. Several other subcomponents were identified as

Table 9. Sustainability

Frequency of Ratings for the Universe of ERs
Reviewed - FYs 1985 - 1986

	<u>+3 to +5</u>	<u>-2 to +2</u>	<u>-3 to -5</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>
	(No. of Ratings)					
SUSTAINABILITY--						
OVERALL RATING	24	121	53	3	11	212
STRENGTH OF PROJECT						
CONSTITUENCY	50	99	27	1	35	212
HOST COUNTRY POLICIES	44	75	40	3	50	212
ORGANIZATIONAL/INSTITUTIONAL						
CAPACITIES FOR CONTINUATION						
OF PROJECT BENEFITS	30	94	72	3	13	212
COOPERATING ORGANIZATION'S						
ABILITY TO RESPOND TO						
CHANGING CONDITIONS	18	95	37	3	59	212
FINANCIAL PROVISION FOR O&M						
AND RECURRENT/CAPITAL COST						
RECOVERY	17	75	62	1	57	212
ACCEPTANCE OF TECHNOLOGY	66	82	22	4	38	212
DEVELOPMENT OF MANAGEMENT						
CAPACITY	33	98	47	2	32	212

having weaker but statistically, significant influence on sustainability. The cooperating organizations ability to respond to changing conditions, the development of management capacity and the financial provision for O&M and recurrent/capital cost recovery all had similar degrees of association with sustainability but their strength was only about half that for the organizational capacity effect. The remaining subcomponents all were found to be significantly related to overall sustainability. However, the magnitude of their influence was low. It is plausible their limited influence may contribute important complementary effects and some of the subcomponents may act as substitutes for others.

3.2 In-Depth Analysis of Issues

3.2.1 The Sample Selection Process and the Sample Structure

In order to select a sample of projects for in-depth review on the sustainability issue it was agreed that those which received high (+3 to +5) and low (-3 to -5) significance ratings on the overall sustainability topic would be the starting point. This turned out to yield about 70 ERs. In winnowing the sample down to 50 cases as agreed for the special sustainability analysis preference was given to final and ex post evaluations; others were eliminated because of their brevity or focus on special topics. Table 10 lists the ERs selected for the sample.

The final sample included 32 reports with strongly negative ratings and 18 with highly positive ratings for overall sustainability. Of those with strongly negative ratings, the distribution of ERs by sector/subsector was as follows: agricultural research and extension 5, land settlement and rural development 2, health 8, population/family planning 1, water use and management 1, fisheries 1, urban services 1, education and human resources 1, development administration 1, infrastructure development 4, energy/technology 5, private sector 2. Of the 18 ERs given strongly positive ratings the sector/subsector breakdown was as follows: agricultural production/extension/research 2, water management 1, education/human resources 3, health 2, population/family planning 2, development planning 1, renewable energy 1, infrastructure development 2, women in development 2, private sector 2. The distribution by sector/subsector is thus quite representative.

The projects are diverse in terms of the types of host country institutions through which they operate. These include central, regional and local government bodies; parastatal bodies; decentralized government ministries; expatriate and indigenous private voluntary organizations; community-based and farmers associations; quasi-governmental and inter-governmental regional

Table 10. List of ERs in Sustainability Sample

Country	Evaluation Name	Project No.
BOTSWANA	Renewable Energy Technology	633-0209
BOTSWANA	Accelerated Impact Program--Borehole Drilling	698-0410-21
CENTRAL AFRICAN REPUBLIC	Central African Republic Rural Development I	676-0015
CONGO	Congo Primary Health Care	698-0410-30
CONGO	Smallholders Agricultural Development I (SMAG I)	679-0001
EQUATORIAL GUINEA	Agricultural Development	653-0001
KENYA	Women in Development: Rural Women's Extension	698-0388
NIGER	Niger Integrated Livestock Production	683-0242
SUDAN	Southern Regional Infrastructure Phase I	650-0031
TANZANIA	Farming Systems Res. and Related Activities	621-0156
ZAMBIA	Agricultural Development Research and Extension (ZAMARE)	611-0201
BOTSWANA	Primary Education Improvement Project (PEIP) (2)	633-0222
CONGO	Combatting Communicable Childhood Diseases	698-0421-79
LIBERIA	Combatting Childhood Communicable Disease: Liberia	698-0421
NIGER	Rural Health Improvement	683-0208
SUDAN	Rural Health Support	650-0030
ZAIRE	Family Planning Services	660-0094
BOTSWANA	Botswana-Zambia Road Paving	633-0072
BOTSWANA	Gaborone West Housing and Facilities	633-0238
LIBERIA	Small and Medium Scale Enterprise Development and Support	669-0201
EGYPT	Small Farmer Production	263-0079
MOROCCO	Morocco Renewable Energy Development	608-0159
NEPAL	Strengthening Institutional Capacity in Food & Agricultural Sector	NP
OMAN	Fisheries Development	272-0101
PAKISTAN	Tribal Areas Development	391-0471
PHILIPPINES	Rural Energy Development	492-0375
SRI LANKA	Water Management I	383-0057

(cont'd)

Table 10. List of ERs in Sustainability Sample

Country	Evaluation Name	Project No.
JORDAN	Health Education	278-0245
MOROCCO	Health Management Improvement	608-0151
PHILIPPINES	Primary Health Care Financing (PHCFP)	492-0371
SRI LANKA	Malaria Control (1986)	383-0043
INDONESIA	Family Planning Development and Services	MULT
MOROCCO	Population/Family Planning Support II	608-0155
EGYPT	Water and Wastewater Sector Assessment	MULT
EGYPT	Applied Science and Technology: Scientific and Tech Info Component	263-0016
EGYPT	Private Sector Feasibility Studies	263-0112
EGYPT	Neighborhood Urban Services (NUS)	263-K-605-5
EGYPT	Development Planning Studies	263-0061
INDIA	Technologies for the Rural Poor	386-0465
BOLIVIA	New Lands Settlement Regional Development - San Juliano	NP
MULT	Caribbean Agricultural Extension II	538-0068
PERU	Improved Water and Land Use in the Sierra (Plan MERIS)	527-0156
BOLIVIA	Rural Education II (1986)	511-0482
BOLIVIA	Rural Education II (1985)	511-0482
HONDURAS	Development Administration Record H	522-0174
MULT	Caribbean Education Dev UWI/USAID Primary Curriculum Subproject	538-0029
MULT	Caribbean Epidemiological Surveillance and Training	538-0027
DOMINICAN REPUBLIC	Energy Policy Development	517-0143
MULT	Caribbean Marketing Assistance	538-0102
MULT	Women's World Banking	940-0002
THAILAND	Siam Commercial Bank Ltd	940-0002-1
BOLIVIA	Water Supply and Small Scale Irrigation	511-0581

institutions, etc. In a few projects, no host country institution was involved.

The discussions which follow reflect the reviewer's analysis of the ratings on sustainability and the subtopics in the complete universe, the statistical correlations and study in depth of a sample of 50 reports.

3.2.2 Key Institutional Factors

Institutional Type and Function. For the purposes of this review, "sustainability" is used to refer to the collective ability of all of those engaged in the activity to carry forward into the future a stream of needed benefits to a designated client or beneficiary group at a cost which is acceptable. Generally this must result in one or more of the following: greater productivity, improved indigenous capacity to deliver a needed service, and/or the capacity to distribute domestic resources more efficiently for the project. It is widely believed that if these developments are to occur, some sort of institution must be the instrument by which they occur.

The review of evaluation reports confirms the central role of institutions in a very high proportion of projects. Institutions which were expected to carry forward the work of the project and (at least implicitly) deliver benefits in the future were usually identified in the ERs. Their characteristics are well identified in approximately 20 percent of the cases, with information usually being provided in such instances on: role, functions, structure, staff, leadership, linkages, budget, etc. Another 40 percent give partial insight on specifics relating to the institutions. The balance of the reports usually mention the responsible organization(s) but provide only limited or virtually no basis for understanding the strengths or weaknesses of the institutions. Where this was the case, the evaluations left a considerable void in the ability of the reviewer to obtain as clear a view of the sustainability issue as would be desirable. Evaluators were also handicapped in the 30-40 percent of ERs where project designs were unclear about institutional roles, the degree and nature of institutional development expected during project life and the means planned for accomplishment of such development. Conversely in the 20-25 percent of cases where these elements were made clearly discernible in project designs, the ERs and the clarity of their view of sustainability was superior.

Institutions in the public sector intended to deliver services to and/or interact with a dispersed clientele will have some different requirements from those whose principal functions are of a regulatory, policy making, tax collecting, or enforce-

ment oriented sort. Both types also have some similar requirements.

A review of projects with planning and policy functions carried out by central government institutions suggests that they are particularly vulnerable to key weaknesses and constraints that tend to limit their sustainability. The principal findings concerning this institutional group can be summarized as follows:

- Leadership is a critical ingredient to success and is often subject to disturbance from external political forces.
- Technical assistance can make a signal contribution to successful implementation, institutional development, and sustainability by placing and supporting local staff in positions where they perform key functions.
- When project expectations are well matched with institutional capability--existing or expanding over time--sustainability is enhanced; many projects establish unrealistic institutional development objectives relative to the time and resources available; this reduces project sustainability.
- Training and organizational development achievements which are essential to sustainability are easily lost due to poor personnel policies, uncompetitive salaries, weak management or failure of higher level policy makers to make effective use of developed capacity.

Several examples illustrate these points:

- A project in Honduras, Development Administration (522-0174) which sought to strengthen tax, revenue, accounting, procurement and related services is reported in an FY 85 final evaluation to have suffered because of the following:
 - poor management and erratic, distracted leadership by GOH officials
 - an unsatisfactory incentive structure which resulted in high turnover of staff and reduced the potential for institutionalization of reforms
 - poor project design, which set goals that were unattainable and structured TA in ways inimical to purpose achievements

A final evaluation completed in FY 85 of the Dominican Republic Energy Policy Development project (517-0143) concluded the project had poor prospects for sustainability without further inputs. Project purposes were to assist the National Energy Policy Commission and provide information support for policy formulation, generate data for public and private sector use and upgrade skills for public and private sector energy programs. It is unclear when the institution was created. The principal reasons for the project's lack of sustainability were as follows:

- weakness of project design, which included inappropriate technology, inadequate resource inputs, misconceptions of the ultimate use of policy information
- heavy personnel turnover due to ineffective use of skills gained through training
- ineffective leadership in using of data and forming policy issues
- a reputation among its constituency for inefficiency

-- In examining the results of technical assistance provided to various Ministries of the Government of Kenya under the Structural Adjustment project (615-0213), the interim evaluation conclude that results were mixed at best and significantly negative in key respects. Institutional development efforts led to a negative sustainability rating for the following reasons:

- Advisors intervened at a level which caused local officials to become over-dependent on TA; local staff were demoralized.
- Despite abundant high quality TA, various Kenyan institutions had limited analytic ability for dealing with policy issues.
- Procedures for project identification and formulation and investment allocation remained fragile.
- Management was not strengthened.

By way of counterpoint, the Development Planning Studies project in Egypt (263-0061) which supported the Development Research and Technology Planning Center (DRTPC) within the structure of a public university to serve public sector entities/ Ministries and parastatals made sufficient progress in key areas to receive a positive sustainability rating. It was newly established when the project was initiated and was six years old at

the time of the evaluation. The main reasons for its highly positive sustainability rating were as follows:

- Good progress in development of staff and management capacity
- Flexibility in dealing with change
- Support from a reasonably strong constituency
- Wide acceptance of technologies developed
- A supportive national policy environment

There remained significant needs for DRTPC to expand its capability for sustainability by broadening its financial support base, further strengthening its management and achieving greater promotional and marketing impact among its prospective client agencies.

Public sector institutions charged with delivering social services and/or developing programs otherwise relating to dispersed constituencies face different and, in many respects, more complex problems. The sample includes projects carried out by such agencies which show both strong sustainability potential as well as a poor outlook for continuing benefits. In the latter case, key problems appear to have been:

- Weak institutional management and outreach capacity for effective linkage with local institutions and groups
- Inadequate budgetary resources for maintenance and replacement of equipment and facilities
- Inappropriate and non-supportive policies of governments and major responsible bodies
- Insufficient involvement in planning policy and/or implementation by groups of participants and beneficiaries at the local level
- Ineffective mechanisms for training staff and middle management

Where substantial success was achieved, it can be attributed mainly to the following factors:

- Strong institutions in place with effective leadership, linkages and management
- Good provision for mobilization and support of participating groups and constituencies

- Acceptance of methods and technologies
- Good provision for O & M cost coverage in the future
- Effective training of project participants
- Supportive policy environment
- Local leadership well-supported by authorities

The following examples from the projects in the sample illustrate these points.

- The Primary Education Improvement project in Botswana was given high marks for sustainability in a final evaluation performed in FY 85 after 5 years of operation and commitment of \$7.3 million. The principal reasons advanced for its high potential to maintain the flow of benefits were these:
 - Strong leadership and effective management in the Ministry and the University created strong programs and constituency support.
 - Supportive policies laid down by the Government of Botswana were faithfully adhered to.
 - Institutions involved were effective and flexible in dealing with change.
 - Cooperation of major institutions was close and liaison with local authorities was extensive with favorable impacts on teacher performance.
- In Sri Lanka a Water Management project (383-0057) was given a strong rating on sustainability in a final evaluation carried out in FY 86. The project was concluding its 7-year life during which A.I.D. funding of \$13.6 million was committed. Some elements of the project design resulted in resource misallocation and some uncertainty about the effectiveness of farmer groups in future O & M of field distribution systems for irrigation water. Nevertheless, the project's prospects for sustainability were seen by the evaluators as bright for the following reasons:
 - strong leadership by the Project Director
 - effective training of project personnel

- sound strategy to create and support Water Users Associations (WUA's) by employing institutional organizers, resulting in greatly increased rapport between farmers and officials and increased participation by farmers in policy decisions
- greatly increased acreage and yields of irrigated crops giving good internal rate of return (IRR) (This was partially clouded by uncertainties about future irrigation system maintenance unless the follow-on project activities continued and improved the cohesiveness of WUA's.)

-- The Primary Curriculum Development project in the Caribbean (538-0029) was given a final evaluation in FY 85. Highly positive prospects for sustainability were cited by the evaluators because of the following factors:

- implementation by a well-established regional institution (University of West Indies) with long-standing strong linkages to the educational establishments of the countries in the region
- good acceptance by governments, officials and teachers of the practicality of the reforms proposed and instituted; implementation of re-enforcement systems
- strong management systems were incorporated in the project

Projects whose prospects for sustainability were judged to be negative are represented by the following examples:

- A Comprehensive Groundwater Development project in Somalia (649-0104) was given an ex-post evaluation in FY 86 after a seven year life. It was deemed to be unlikely to continue benefits effectively, despite considerable success in providing wells under an \$18.8 million A.I.D.-funded program, mainly for the following reasons:
 - weak institutional development--a Water Development Authority with limited management capacity, ineffective use of trained personnel, intra- and inter-agency tensions, inadequate planning and poor linkages with regional bodies and local community groups responsible for well operation
 - poor systems for financial resource mobilization for equipment procurement and O & M of construction equipment and completed wells

Inadequate involvement of communities in well place ment decisions and training of local personnel for operation and maintenance

A \$1.0 million Health Education project in Jordan (278 0245) received poor marks for sustainability prospects in a final evaluation carried out in FY 85. The principal causes for this low rating were as follows:

- poor acceptance by the institution (Ministry of Health) of the relevance and importance of health education as a major element of a national health strategy
- limited success in development of management capacity
- inadequate staffing and budgeting support for the program
- unwillingness to accept a role for the private sector in health education

An \$11 million project for Improved Water and Land Use in Peru (on which a final evaluation was conducted in FY 85) was unlikely to be sustainable mainly for the following reasons:

- ineffective management, technical staff, and capacity to maintain contact with field operations by Plan MERI, the central institution responsible for project execution
- inflexible response to change by Plan MERI
- ineffective mechanisms for outreach to and collaboration with existing irrigation committees and regional authorities
- inadequate development of financial provisions for O&M

Grass Roots Participation. The sustainability of projects which directly impact the lives of rural beneficiaries was shown to be significantly influenced by or dependent on the nature and degree of participation of such groups in the planning and implementation of the activities. In Sri Lanka, water use and management was described as having improved under the Water Management I project (383-0057) in substantial degree because farmers were organized and afforded opportunities to work out their own solutions and programs for joint action. In Indonesia's A.I.D.-supported family planning programs, community mobilization to promote family planning was a key element of the strategy for the

successful village based effort in the densely populated and ethnically homogeneous islands.

On the other hand, severe difficulties were reported in several projects where mechanisms for significant grass roots participation were omitted. The following are examples:

- Niger Integrated Livestock Development (683-0242) --The initial interest of local herder groups was lost because of a failure to communicate and collaborate on planning and program action as well as failure to deliver promised services.
- Pakistan Tribal Areas Development (391-0471) -- Infrastructure development was planned and executed without local community or leadership participation. This resulted in the absence of a sense of local "ownership" in turn leading to destructive action by farmers seeking to satisfy their unmet needs.
- Bolivia New Land Settlement Program --The evaluators reported the total absence of a mechanism for coordination and communication with settlers in the new lands and that this resulted in their having no means to express their felt needs. The result was a failure to respond to the settlers' need for extension and marketing services which were essential to their becoming self-supporting and to the project's ultimate sustainability.
- Sri Lanka Malaria Control (383-0043) --The absence of effective community participation resulted in a lack of understanding of the importance of residual house spraying and in resistance to its continuation. Since this was a key item of the strategy to control malaria the failure threatened the collapse of the program pending a transition to an integrated vector control effort.

Strength of Constituency. The reports under review indicated that the strength of a project's constituency is a very important and useful asset to the achievement of project success and sustainability. However, it is of limited significance if other major elements of a project's support system are not present and operating effectively. Thus, there is only a moderately strong correlation (0.58) between strength of project constituency and overall sustainability for the 151 cases in the overall universe where both elements were rated.

Projects which seek to serve and favorably impact large numbers of people, dispersed groups or sub-institutions are especially dependent on strong constituency support. Examples are the Caribbean Epidemiology Surveillance and Training (538-0027), Botswana Primary Education (633-0022) and the Caribbean Curricu-

lum Development (538-0029) projects. All were judged to have strong prospects for sustainability and enjoyed support from a powerful constituency. However, it was equally clear that good project design, management, leadership and financial support were also present in these projects and ingredients of success.

Strong, supportive constituencies were not of great value when the other key factors were weak or absent. For example, Technologies for the Rural Poor in India (386-0465), Bolivia Water Supply and Small Scale Irrigation (511-0081) and Rwanda Fish Culture (696-0012) all had strong constituencies but poor sustainability ratings.

Management Capacity. The statistical evidence developed from the 50 ERs indicates that management is a significant factor affecting sustainability. To carry on its programs and benefits an institution must be managed effectively. A new institution would need to have that capacity developed in the early stages of its operation or an existing one with weak management would need to strengthen that capacity for the benefits it is intended to provide to be maintained. The evidence provided by the sample strongly supports this conception. Management capacity is very consistently rated on a level identical or close to that of overall sustainability whether positive or negative.

On the negative side, a project directed toward developing a Science and Technology Information System in Egypt (263-0016) was judged to have poor sustainability potential unless substantial improvements were effected. In particular, a unit needed to be established to provide effective management of the system. In a Liberia project for Combatting Childhood Communicable Disease (698-0421), poor management led to waste, lack of coordination and clarity of program priorities, poor equipment maintenance and was a major element of a poor sustainability outlook. A project in Honduras to improve Development Administration was judged by the evaluators to have made some significant gains during implementation. However, it would support only limited improvements in the future due to management weaknesses. These were likely to thwart the maintenance of gains made at the administrative level. Management problems also created a serious difficulty with malaria control efforts in Sri Lanka under project 383-0043 as Central and Regional offices failed to respond to field findings, thus threatening project performance.

On the positive side, good management repeatedly showed up as an important factor in developing capacity that will carry the benefits forward. A project for Renewable Energy Development in Morocco was in a strong position to maintain its capacity because the parastatal organization, although established only four years before the evaluation was carried out, enjoyed strong leadership and good management. The organization appeared to be making good

progress in organizational development despite the country's economic and fiscal difficulties. The Siam Commercial Bank project to promote small and medium scale private enterprises in Thailand evaluated at an interim stage showed a very strong capacity for sustainability. It was mainly dependent on the long established Siam Bank which had the management capability to market, monitor and carry out the operations associated with lending to new ventures and some existing ones. It responded well to having a special source of funds to make term loans. The bank's success rested substantially on its sound management. It seems likely to continue such lending into the future. For a Primary Education Improvement project in Botswana operating through the public sector, good management was a contributing factor to high sustainability as seen in a final evaluation. It was also helped by good leadership, a strong institutional setting, and a favorable policy environment.

Linkages to Other Organizations and to Beneficiary Populations. Policy and analysis institutions need to be well related to the decision-makers or they are likely to be quickly out of step with the needs of their clients (policy-makers). This happened in the case of the Energy Policy Development project in the Dominican Republic. It failed to maintain good linkage with its technology source and became obsolete. In the process it lost its trained staff. A similar project based at Cairo University in Egypt to carry out Development Planning Studies showed good prospects for remaining viable because it had been relatively successful in forging links with and performing marketing functions related to its prospective clientele (government ministries and parastatals) and successfully recruited talented staff by working closely with various training institutions.

In Indonesia, evaluators of the A.I.D. support for the 10-year Family Planning Program attribute its success to a significant degree to the effective linkage of village and other local workers to other program bodies (health delivery, etc.), to religious leaders and traditional chiefs as well as to the community at large. The Caribbean Epidemiological Surveillance and Training project benefitted greatly from effective liaison with member country institutions based on highly capable representatives. The strong linkages forged were reported to give good prospects for sustainability. The successful pilot project to promote Small Farmer Production in Egypt (263-0079) shows the great importance of close linkage with collateral entities (notably the Ministry of Agriculture) providing key complementary services and of having a well-managed system to link the related field services (i.e. audit, input delivery and extension in this instance) in an efficient and financially viable manner by using its network of village banks and farmers organized in blocks.

A case with a much less satisfactory result is the Philippine Primary Health Care Financing project (492-0371) where plans

and actions to provide linkage and coordination among a complex network of institutions were ill defined and their relationship to local groups at the village level were not clear. The evaluators at this interim stage of the project saw a poor prospect for success unless the project purpose and organizational structure were clarified.

Good linkage, communication and relations with beneficiary groups deserve careful attention at the project design stage and continued attention through sound management during project implementation.

3.2.3 Technology Adoption and Diffusion

There is not a very high correlation between overall sustainability ratings and acceptance of technology among the 212 ERs reviewed. Not surprisingly there are instances where there was good acceptance of technology but sustainability prospects still appear very slim because other factors were not favorable. Examples of such project ERs include:

- Gaberone West Housing and Facilities in Botswana
- Development Planning Studies in Egypt
- Water Supply and Small Scale Irrigation in Bolivia

It is clear that when other factors are favorable to sustainability the ready acceptance of the technology the project seeks to apply is important to continued success. In cases where the technology is a critical factor to the project's impact, its acceptance is also of central importance to sustainability. Negative technology acceptance was not associated with positive overall sustainability.

3.2.4 Attention to Cultural Factors

Cultural factors were infrequently identified in the ERs as a significant influence on the achievement of sustainability. The cases cited below indicate, however, that cultural issues were important in certain instances and that evaluators saw them as a major determinant of long term success in those instances.

In the case of the Northeast Small Scale Irrigation project in Thailand (493-0312), serious mistakes were made in the design and staffing of the project. These mistakes resulted in poor cultural interactions and seriously affected implementation.

With modifications and restructuring, a basis was developed for a reasonably optimistic outlook for sustainability.

In the following cases from the sample, inadequate attention was given to cultural factors, with varying amounts of impact on sustainability.

-- Pakistan: Tribal Areas Development (391-0471)

Project design and staffing took no account of the value system and socio-political relations prevailing in the project region. The intended beneficiaries were unprepared to collaborate on the basis of activities not negotiated through their representatives or which did not take account of long standing informal arrangements with the Government. This lack of collaboration hampered implementation and gave virtually no prospect for sustainability. The personnel assigned to design and construct irrigation infrastructure were purely technical personnel with no prior experience in the area.

-- Pakistan: Primary Health Care (391-0475)

The project had a sound basic design but operators were insensitive in appointing Community Health Workers (CHW) without consultation with villages. As a result, CHWs lacked appropriate status and effectiveness. Other management and systems problems were also serious factors contributing to the low sustainability rating.

-- Niger: Integrated Livestock (683-0242)

The technical assistance team set out to develop and strengthen herders associations with far too little understanding of the complexities of the socio-cultural environment. Other organizational and management factors were also significant barriers to sustainability.

-- Sri Lanka: Water Management I (383-0057)

Good work was done with significantly successful results at the outset by using Institutional Organizers (IO's) to form Water Users Associations. The IO's, however, were withdrawn before the associations became consolidated. This threatened to undermine an otherwise successful activity with good prospects for sustainability because of insufficient understanding of the need to nurture such groups in the Gal Oya cultural context.

Cultural sensitivity is thus especially important for programs that seek to change the patterns of economic and social behavior of groups of people in traditional settings. However,

cultural factors were not identified in most of the ERs considered. This suggests that such factors either were not of major significance or that evaluators were not well attuned to that significance. More detail regarding this matter is set out in the discussion of WID issues.

3.2.5 Policy Environment

The policy environment within which projects operate is a critical factor to sustainability and a key link between success in implementation and longer term sustainability. While many other factors can have a stronger and more direct influence on sustainability, where severely unfavorable policies directly alter the project or where the general macro-economic policy environment is very disruptive, however, it is unlikely that a project will produce sustainable results. The following cases from the sample illustrate these points:

-- Bolivia: New Lands Small Farmer Settlement Programs

The absence of policies to provide infrastructure, service centers, inputs, and technologies for high value crops and off-farm employment opportunities resulted in the target group remaining poor, subsistence farmers. As a result, they were limited to wage labor on large scale extensive estates.

-- Jordan: Health Education (278-0245)

The Government of Jordan undertook a program to incorporate health education as an integral component of primary health care. In fact, however, on a policy level it never embraced the health education concept. As a result, the program was not institutionalized. This is the primary reason for its potential sustainability being low five years after initiation of the program.

-- Nepal: Strengthening Institutional Capacity of the Food and Agriculture Sector (367-0144)

Despite success in training agricultural policy analysts for work in various policy bodies of the Government of Nepal, no significant progress in institutionalizing policy analysis occurred. This was essentially because the Government of Nepal was unprepared to come to grips with the policy issues it confronted. As a result, trained personnel had an unsatisfactory environment in which to pursue policy analysis.

Bolivia: Rural Education II (511-0982)

A long period of social/political upheaval and economic dislocation led to serious discontinuity of policy. Despite good progress in training personnel little progress was being made due to lack of coherent public sector programs.

Bolivia: Primary Education Improvement (633-0222)

By way of contrast with the above activity in Bolivia, the inputs to a similar program show strong signs of sustainability in a highly stable, favorable and well-oriented general development policy which effectively focused on education as well. This favorable policy environment had a major impact on the morale of officials, teachers, students and hence on the seriousness of efforts to introduce change and reform.

-- Philippines: Rural Energy Development (492-0375)

The project was an effort to evolve renewable energy sources to reduce the strain on the balance of payments due to the heavy oil import bill. However, Government of Philippines had not undertaken studies and failed to make a variety of policy determinations essential to devising a coherent energy strategy around which project decisions could be made. The result was a set of incoherent actions with potentially destructive effects on the environment. In part, this derived from political instability.

3.2.6 Recurrent/Capital Cost Coverage and Provision for Post-Project Finance

For all the project evaluations reviewed, provision for O&M and capital cost recovery showed a statistically significant correlation with sustainability. Sixty percent of the projects with high overall sustainability ratings also had high ratings for financial provision of OM/capital cost recovery and 73 percent of those with low ratings on the main topic also had low ratings on this subtopic. Eleven percent showed strong provision for the financial needs of the project and a low overall sustainability rating.

Given these indications of the importance of adequate financial provision for future project benefits to be sustained, little explicit reference is made in ERs to special plans to ensure that the post project requirements for funding will be met. If current performance and prospects are portrayed as being satis-

factory, it is generally because moneys are being provided from general budget revenues. In 70 percent of the cases in the sample, the responsible institutions were regular line agencies of a central or local government whose only source of funds is the budget. An exception was a parastatal with a measure of financial autonomy. The Small Farmer Production Project in Egypt (263 0079) succeeded in transferring the marginal costs of intensive extension services provided by the Principal Bank for Development and Agricultural Credit, a parastatal institution. Other projects were heavily dependent on the regular government budgets for their financial resources. Since developing countries were experiencing some measure of economic, financial and fiscal stringency (many with severe problems), prospects for post-project financial resources were rated marginal-to-poor in 75 percent of the cases reviewed. Only limited attention seems to have been given to this issue at the design stage, as indicated by the ERs.

This limited attention may be due to the emphasis placed on near term results in terms of outputs; less attention is given to longer term results such as sustainability whose costs in the short run may be high relative to immediate product.

The observation was made by approximately 10 percent of the ERs that the resources programmed were inadequate to achieve the results (purpose and/or goal) anticipated to be achieved by the project. In most of these instances the A.I.D. resources made available were seen as inadequate as were the financial manpower and management inputs of the host country. This appears to be a sufficiently frequent problem to merit senior management attention within A.I.D.

The following cases illustrate these points:

-- Sudan: Rural Health Support (650-0030)

During the first five years of the project the GOS found it impossible to provide an adequate level of recurrent cost funding despite its concern with rural health improvement as a high priority goal. The problem was exacerbated by a fiscal crisis arising out of broad economic difficulties, a project design flawed by seeking achievement on too many fronts, and an underestimation of transport and other constraints.

-- Egypt: Neighborhood Urban Services (263-K-605-5)

The evaluation expresses concern about the high costs of future maintenance of infrastructure built by local PVO's because of the poor quality of construction, thus endangering the continuance of the stream of benefits in

the future. This problem had both financial and management aspects.

-- Pakistan: Malaria Control (391-0472)

Underfunding of the local institutions responsible for operations was a pervasive constraint to adequate surveillance and control measures. While the longer term outlook is not explicitly covered in the ER this constraint clearly dimmed the prospects for sustainability once external support was removed.

-- Caribbean: Regional Marketing Assistance (538-0102)

The local "Partners" groups of private entrepreneurs lacked the resources to maintain contacts abroad and even less to undertake export marketing operations without continued external support.

-- Liberia: Combatting Childhood Communicable Disease (698-0421)

The Government had been unable to provide the level of funding to which it was committed despite a genuine interest. This reflected in part the political tensions of the period and serious economic and financial crises confronting the country. While the ER suggested that the longer term may bring some relief, on the basis of current indicators in the region, sustainability prospects were judged to be very weak.

-- Bolivia: Water Supply and Small Scale Irrigation (511-0581)

This project, undertaken to provide water in the wake of a drought emergency, performed reasonably well in the initial development and implementation stage. However, provisions for meeting O&M costs in the future were judged to be precarious due to the financial weakness of the host government agency and the local communities involved.

The ERs in the sample revealed only four (4) instances where user fees or other special resources were developed to ensure a future financial basis for activities. Where strong policy support and training was made a basic part of local community-based programs, volunteer labor was a significant substitute for cash in three (3) cases. A project for self-help rural water supply in Malawi is a case where the government maintained steady support for local responsibility over a long period of time, and prospects for sustaining the small scale projects appeared to be very good. Other cases of adequate provision for future finan-

cial support of development activities seem to be closely related to the macro economic and financial situation and/or the broad commitment to equitable development such as in Botswana (Primary Education). These point to the importance of a broad economic environment favorable to development and country macro-level development policies as key conditions for future sustainability of projects. Unless the national economies provided a basis for underwriting future costs, no amount of good intentions or binding agreements with donors can succeed in ensuring the actual availability of the resources necessary for sustainability.

3.2.7 Human Resource Development

Human resource development is a necessary, but not sufficient basis for sustainability. Approximately one-third of the activities with low overall prospects for sustainability made reasonably good progress in training and placing needed personnel. Other negative factors, however, significantly clouded sustainability prospects.

For projects whose sustainability prospects were among the best, important progress in human resource development had been made. Nearly half of all the highly positive cases examined in the sample made excellent progress and one-third had made at least a good showing. These observations suggest that to achieve sustainability, competent human resources are necessary at all levels and in various roles. This finding held for all sectors and for all functions such as policy development, planning, administration, research, service delivery or infrastructure development.

The ERs in the sample indicate that a sound plan must be formulated at the project design stage for the development of needed human resources, taking into account requirements for both formal and on-the-job training. Time must be allowed for both; and adequate funds must be available to cover training costs. Incentives are needed to retain personnel, including competitive salaries and non-monetary rewards. Inflation accompanied by fiscal constraints that limit public sector salary adjustments can easily result in the loss of key staff and rapid turnover. Likewise, failure to provide an opportunity for specially trained personnel to perform at a level which calls for the exercise of their skills can result in the dissipation of their newly acquired capability. Thus, a project must build needed competence and retain its personnel to have the capacity to deliver benefits in the future. At the same time, the pool of adequately trained personnel, which a project can draw upon, cannot be overestimated without jeopardizing both current and longer-term project efforts.

The following cases illustrate these points:

Dominican Republic: Energy Policy Development (517-0143)

Personnel were trained for computer-based analysis, but a lack of leadership and rapidly evolving technologies resulted in their training being irrelevant and unused. As a result, the staff was lost to the project before a remedy was found.

Morocco: Health Management Improvement (608-0151)

The design of this project assumed greater capacity in the host agency to furnish, recruit, fund training for, and effectively mobilize skilled and motivated administrators and analysts to improve management. Agency capacity was too thin for effective skills transfer on the scale required. The result was a project that came to an end with less than needed capacity to carry on essential tasks.

Sri Lanka: Water Management I (383-0057)

A set of training programs was developed for officials, field personnel and farmer participants in Water Users Associations. The training effort changed fundamentally the pattern and openness of communications among farmers and between farmers and officials. This contributed substantially to the success and sustainability of this project.

The WID section describes other cases of the impact of human resource components on projects.

3.2.8 Relationship Between Implementation and Sustainability

The statistical analysis of the 212 ERs shows sustainability to be positively but not strongly correlated with implementation constraints. Generally projects which encountered fewer implementation constraints appear to have better sustainability prospects.

3.2.9 Project Design

Project design deficiencies contributed to poor sustainability prospects in 13 instances among the 30 ER's in the sample with strongly negative sustainability prospects. Key factors cited were the following:

Absence of concrete plans to ensure adequate human resources availability by the end of the project's life (e.g. Rural Health Support in Sudan, New Land Settlement in Bolivia)

Project not consistent with national policies, priorities or strategies (e.g. Health Education in Jordan, Development Administration in Honduras, Strengthening Institutional Capacity in Food and Agriculture in Nepal)

- Action programs not well integrated with national institutional structures (e.g. Integrated Livestock Production in Niger, Rural Energy Development in the Philippines)
- Inadequate assessment of natural resources base to establish adequacy and extent (e.g. Rural Energy Development in the Philippines)
- Absence of plans to adequately cover recurrent costs or for recovery of capital costs (e.g. Neighborhood Urban Services in Egypt, Marketing Assistance in the Eastern Caribbean)
- Lack of an institutional base to carry on benefits (e.g. Small and Medium Enterprise Development in Liberia)

Design features which made positive contributions toward sustainability included the following:

- Pragmatism in adapting action programs to respond to widely recognized need notwithstanding absence of a formally-declared supportive policy (e.g. Family Planning Support in Morocco, and Small Farmer Production in Egypt.)
- Use of a well-established institution to undertake an innovative and experimental program as with the introduction of term lending for expanding agro-enterprise in the private sector through the Siam Commercial Bank in Thailand
- Strong linkage between institutions performing collateral services and provision of incentives to encourage staff of the collaborating institution to perform effectively (Bank for Agricultural Credit and the Extension staff of the Egyptian Ministry of Agriculture) in the Small Farmer Production project in Egypt
- Provision for training and of incentives for retention of needed personnel with superior skills as in the

Epidemiological Surveillance and Training project in the Eastern Caribbean

3.2.10 Flexibility

The treatment of this subtopic in the ERS is related to sustainability in evidencing whether or not A.I.D. and host country implementing agencies were able to respond effectively to changing conditions as the project proceeded, including substantial project modifications and re-design as necessary to keep a project on track towards its objectives. This would offer leading evidence of the ability of project managers to take real world conditions, problems and opportunities into account--an essential attribute of any management capability needed to sustain project benefits. Approximately 15 percent of the ERS indicate that demonstrated flexibility was a key factor in maintaining progress and improving sustainability prospects. Where flexibility was absent it was also cited as an impediment to sustainability.

A case that illustrates the point is the evaluator's assessment that the poor prospects for sustainability of the Tribal Areas Development project in Pakistan is attributable in part to A.I.D. inflexibilities. The ER points out that, despite the special situation of a remote and traditional social environment, in which the project was carried out, A.I.D. viewed the project as a purely infrastructure activity and would not depart from standard FAR procedures. Approximately 15 percent of the ERS indicate that flexibility was a significant factor in maintaining momentum and achieving success. They are equally strong in condemning its absence.

3.2.11 Life of Project

Nearly 10 percent of the ERS stated or implied that the project evaluated sought to accomplish unrealistic or over ambitious objectives within the time and resources available. A longer life of the project would have been the answer in some cases. In others a scaling back of targets, purpose or goal would have provided a more realistic basis for measuring achievements.

ERS showed no significant difference in the proportion of projects achieving high sustainability ratings for project life of more than five years, as compared to projects of three to five or less than five years.

In our judgment, many other factors relating to project design, management, and support (from A.I.D. and the host country as well as participants and beneficiaries) have greater influence on sustainability than life of project per se. The life of the project needs to be carefully balanced with the project's strategy, resource endowments, expected outputs and purpose. But merely extending the life, in and of itself, did not ensure a higher probability of success or sustainability of the projects in the sample.

3.2.12 Technical Assistance Team Composition

Different kinds of long-term technical assistance team composition were represented in the projects in the universe and in those reviewed in the sample. The ERs give highly variable attention to the composition of teams providing technical assistance. Some explicitly addressed the contractor, individuals and their areas of responsibility. Others provide little or no picture or, at best, provide only limited insight into the role of this factor in supporting sustainability.

For the sample reviewed, the performance, success or failure of a project, and its prospects for sustainability, were weakly related to any particular pattern in TA team composition or source of supplier of the team (e.g., universities, non-profit or for-profit contractors, PVOs, PASAs or other individual technical advisors). Exceptional project successes or problems occurred with similar TA team sources and composition. The section on Implementation Constraints points to other TA factors that may warrant closer examination in relation to sustainability. These include the extent to which advisors were sensitive to the local socio-economic context of the project; the extent to which they work, or are able to work, closely with host country project and policy staff; and the relative emphasis they place on directly carrying out project tasks as against supporting and strengthening B/G capacity to sustain those tasks independently.

3.3 Lessons Learned

From this review of evaluation reports on project and non-project activities, a number of lessons can be drawn which may be useful in the continuing effort to improve overall performance of the Agency's work. In deriving these lessons the reviewers interpreted the above findings and patterns in the light of the reviewers' own experience. The following also captures several of the "lessons learned" stated in the ERs. These are grouped in eight major categories, which are discussed below.

3.3.1 A.I.D. Concern With Sustainability

- Attention given to sustainability related factors increased compared with the review of 1984 evaluations. However, it still is not given as much attention as it deserves. If A.I.D. regards sustainability as a measure of project success, the issue should be a key concern for project designers, implementors, managers and evaluators.
- Project evaluations give less direct and specific attention to sustainability than is desirable and treat the issue in fewer cases than is necessary for optimum feedback to project/program managers. Not every project aims to achieve full sustainability at the end of its life because a subsequent phase is contemplated. Evaluation reports should, however, be more explicit about the long-term EOPS sought by more consistently providing the complete Logical Framework or other indicators that can provide a means for assessing sustainability.

3.3.2 Institutional Factors

Institutional Type

- Whether institutions are new or existing at the time a project is initiated appears to be less important in achieving independence and contributing to sustainability than the quality of leadership, management and staff; availability of financial and material resources; and their linkages and communications with other institutions clientele or beneficiaries.
- Policy analysis, development and/or investment planning and similar organizations are exceptionally sensitive to leadership continuity, policy environment and capacity to forge links with their clients or prospective clients.
- Line agencies of government are frequently victims of rigid rules and funding constraints that render them unable to obtain or hold staff, deliver the services expected or respond flexibly to changing conditions and hence are unable to be effective partners in the quest for sustainability.

- Few institutions in developing countries experiencing serious economic and fiscal difficulties are able to provide the continuing inputs and outputs required for the projects in which they are involved.

Grass Roots Participation

- Grass roots participation in planning, policy making and program management is important to sustainability for programs seeking to impact favorably the well-being of large groups of people.
- Institutions charged with management of outreach impact activities need to
 - structure a plan to institute and sustain participant/beneficiary groups through a consolidation period
 - operate sensitively in identifying contact personnel at the local level to ensure that the community will accept them as their own
 - be responsive to change in beneficiary situation and needs
 - work through established traditional channels that reflect local values and relationships
- Participation is facilitated when local communities are in close and harmonious contact and form homogeneous social or ethnic groups.
- Organization of grass roots groups can greatly facilitate communication between officials and beneficiaries and the efficient administration and distribution of inputs, services and collection of the costs of providing services.
- Primary responsibility for organizing local groups should be in the hands of well-informed and culturally sensitive host country personnel, not by expatriates.

Strength of project constituency

- Project constituency support is a useful adjunct in achieving sustainability when other key elements of project success are also present.

- A measure of "self-interest" and "ownership" of project-created assets are important to strengthening constituency support.

Management Capacity

- If sustainability is to be achieved, project management must be strong enough in any new or existing institution to operate independently when external support is withdrawn. Project design must include a practical strategy to build independent management capacity during the LOP.
- Technical training often results in promotion of host country personnel to positions of major management responsibility without their being prepared for that function.

Linkage to Other Institutions, Beneficiaries and Participants

- Where institutions need forward linkage to client organizations, "marketing" capacity must be developed to forge that essential connection.
- Institutions are inevitably dependent on other bodies to supply inputs of which trained staff is a key element. The limited capacity to meet the need for human resources through these backward linkages is a frequent source of problems in moving toward sustainability.
- Collateral linkages to institutions that supply important complementary services are often difficult to forge but may be facilitated in part by providing incentive pay and support costs for the collateral body to encourage concentrated services to the key target groups and similar functions.
- Institutions which relate effectively to their participants and beneficiaries have usually done so through a well-structured field staff whose contacts with "grass roots" personnel are accepted as legitimate.

3.3.3 Technology

- Attempts to transfer household technology in a vacuum, i.e., without a clear institutional framework, are unlikely to take root and achieve wide adoption because of the absence of a marketing channel.

- Technology needs to be examined, pilot tested and adapted to ensure its suitability in a particular developing country setting even if it has been widely adopted in another developing country.
- A suitable institutional structure is as important to technology transfer and diffusion as the technology itself.
- Advanced technology and expensive hardware which exceed an institution's financial or technical capacity for maintenance and repair are likely to be wasteful, ineffective and unused.
- Technology acceptance is likely to be enhanced where the users see immediate benefits from its application, are trained in its use and maintenance, feel that they have effective control of the technology as individuals or groups and believe that its O&M costs are sustainable.
- Sustainability of the technology transfer process is dependent on the development of an indigenous institutional structure to maintain the system after external support is withdrawn.

3.3.4 Cultural Factors

- Cultural factors are of maximum concern to sustainability where beneficiaries are part of a traditional society in which social relationships and values are well defined and need to be respected if desired changes are to be accepted in the community.
- Strategies for beneficiary mobilization to achieve social change must be adapted to specific cultural settings and cannot be transferred even within a given country without reference to the specific setting. The more sensitive the subject matter (e.g., family planning), the more specifically the strategy must be tailored.

3.3.5 Policy Environment

- Policy issues should not be "assumed away" at project design but confronted clearly as a part of developing an explicitly agreed and favorable climate within which projects can proceed.

- Where governments are reluctant to confront policy issues and provide a framework in which the results of policy analysis can be brought to bear, it is unlikely that development of people with analytical competence will be an effective instrument of change.
- The absence of coherent and stable policies at the macro level can undermine the results of soundly-designed and effectively implemented projects.

3.3.6 Financial Support and Stability

- Projects that fail to obtain a suitable measure of internal financial support during the period when external support is being provided have a poor prospect of sustained delivery of benefits in the period after such support ends.
- Few projects are designed to develop special sources of funding that will provide the resources to ensure their viability into the future.
- User fees or other special funding devices that permit the leveraged application of intensive services to key beneficiary groups through incentive payments for extra duty by service providers (e.g., extension personnel) or for other increased marginal costs of such services may substantially enhance sustainability prospects.
- Post-project financial resources adequate to meet costs are an obviously important element of sustainability. They receive inadequate attention in project design, by managers overseeing project implementation and by evaluators in assessing projects.

3.3.7 Human Resource Development

- Human resources--a crucial input to project implementation and achievement of sustainability--are generally inadequate in part because poor analysis is undertaken to determine the real potential of key institutions to provide adequate personnel.
- Few projects have had success without having a sound design and an effectively executed strategy to meet human resource needs on a continuing basis.

- Governments frequently make commitments in good faith to provide for training to meet the needs for skilled personnel but fail to budget adequate funds to cover the costs.
- Inadequate understanding of the resource constraints, a more careful analysis of the potential of the key local institutions to provide qualified personnel explains weak sustainability prospects as projects approach their conclusion.
- If sustainability is regarded as a key measure of ultimate success, several actions could be taken to improve performance toward its achievement:
 - increase the importance given to this element of the EOPS component of the logframe
 - clarify that sustainability is not anticipated at the end of the LOP if a project is expected to be followed by another phase, but determine clearly what advances in that direction are anticipated
 - diminish the emphasis on the outputs achieved in the short run in favor of development of capacity for a continuing stream of benefits in the long run
 - adjust overall country development strategies if there are fewer projects achieving sustainability than is desired to focus available resources on a smaller range of activities to improve total performance

4. WOMEN IN DEVELOPMENT

4.1 Overall Patterns

4.1.1 Introduction

A.I.D. has an explicit policy of integrating women's concerns into its development assistance program worldwide. Its Women in Development (WID) Policy Statement outlines the specific ways A.I.D. will take into account the actual and potential roles and needs of women in its strategies, project designs and project implementation (see A.I.D. Policy Paper, Women In Development, October 1982). A.I.D. does this through support of LDC women's institutions and programs, improvement of women's access to resources, investments in human resource development, development of institutions and transfer of appropriate technology, support

of gender-differentiated research, and support of international efforts to assist women.

The responsibility for implementing this WID policy which was published in 1982 rests with all of A.I.D.'s offices and programs at all levels. The effectiveness of the policy can be partially assessed by examining and evaluating A.I.D.'s projects in terms of their impact on women. This study examined the impact on WID as it was discussed in the project evaluation reports reviewed. The following paragraphs summarize the findings and lessons learned from this review.

4.1.2 Description of Universe Regarding WID

Of the 212 project evaluations reviewed, 15 percent (31 projects) had WID as a major purpose.⁸ Half (16) of these projects were carried out in the ANE region; about one-fourth (8) in AFR; and about one sixth (5) in LAC. In terms of their distribution within regions, 19 percent of ANE, 13 percent of AFR and 8 percent of LAC projects had WID as a major purpose. One, Women's World Banking, was a multi-country project carried out by the PRE bureau. One other project report that did have WID as a major purpose, the Poland Relief Project, provided no other substantive response to the questions on the rating form.

In terms of sectors, 38 percent (12) of the WID purpose projects were in ARD, 33 percent (10) were in HEA/POP, 20 percent (7) were in EHR and 7 percent (2) were in MLT/SDA. While the WID ARD projects represented only 10 percent of all ARD ERs reviewed, the WID purpose HEA/POP projects represented one-third of all HEA/POP ERs reviewed and one fourth of EHR ERs.

Ninety percent of the projects started before FY 83 in contrast to 75 percent of the total universe that started before FY 83. The projects varied widely in size. In terms of the evaluations themselves, over 80 percent were carried out in FY 85. Sixty percent of the evaluations were Interim, 30 percent were Final and 10 percent were ex post.

For those projects that did have WID as a major focus, more than one-third had highly positive overall ratings in terms of impact on women. Slightly more than 50 percent (17) were rated in the average (± 2) range. None received strong negative impact ratings overall. About one-third of the ERs in this group indicated a modest change in women's status as a result of the proj-

⁸All the projects in this universe do not necessarily have WID as the major purpose: WID may be one of several purposes or objectives of the project.

ect. About one-third of the reports received a highly positive rating in terms of "planned benefits achieved" and "knowledge of institutional setting." Nearly two-thirds gave high ratings to "women as project participants" and for "women as beneficiaries." (In considering this latter rating, however, it is important to note that a rigorous distinction between the two was not always made by project implementors or evaluators.) More than two thirds of the WID purpose projects included "division of project responsibilities by gender in the project design." About half of the WID purpose projects had their project implementation redirected or their strategy changed during the period covered by the ERs.

The overall impact ratings of WID purpose projects were reviewed by bureau. While the universe is small, 38 percent of the AFR, 60 percent of the LAC and 30 percent of the ANE projects reviewed received highly positive ratings. In terms of ratings on specific subtopics there was little discernible difference in ratings by bureau though LAC projects consistently had a slightly higher percentage of projects with high significance ratings on the various subtopics. (Note, however, that there were only five LAC WID projects, hardly a number from which to generalize.)

Overall WID impact ratings were also reviewed by sector: 57 percent of the WID purpose EHR projects got highly positive WID impact ratings. Projects in ARD and HEA each received highly positive ratings on roughly 40 percent of the WID purpose projects in their sector. It is important to note, however, that the number of projects that form the base for comparison is very small and that the rating differences are subtle. The differences in performance between sectors may not be that great.

These numbers are in contrast to those for projects for which WID was not a major purpose. In these projects only 3 percent received a highly positive overall rating in terms of impact on women. Another 16 percent were rated +2 to -2. The majority (77 percent) received a rating of "9" indicating that the reviewer had "not observed" any comments regarding impact on women in the project's evaluation and, therefore, could not rate overall impact. Not surprisingly, this percentage of "not observed" ratings holds consistently throughout the other WID subtopics rated. For example, for those 181 projects that did not have WID as a major purpose, the presence of gender specifics either in project design or implementation were recorded in only 11 ERs, just six percent of the non-WID universe. Based on these figures, either women's concerns were not given much consideration in projects or gender-specific data or issues were not considered in evaluating projects unless WID was a major focus of the project. Both cases may also be true for some projects. Either case ignores women in developing countries and is inconsistent with A.I.D.'s policy.

4.1.3 Statistical Analysis of WID Variables

Working from a pair-wise correlation analyses for all ERs, the data suggest that there are some reasonably strong relationships demonstrated between certain WID-related variables. Most of these are not surprising as shown in the examples on the following page.

Statistical tests of the data did not indicate significant impacts of "WID as a major purpose" (at the 95 percent level of confidence) on either the sustainability relation or the implementation constraints relation. However, when WID was a major purpose in concert with high WID overall, women as participants and beneficiaries did seem to have a positive, albeit insignificant, affect on sustainability. The impact of WID as a major purpose did positively influence (but not statistically significantly) the relation between overall WID impacts and its major subcomponents, although this finding is not surprising. One result is interesting. Overall WID ratings were highly correlated with private sector employment, value added and incomes of the poor, but the direct influence of WID as a major purpose could not be demonstrated significantly. However, this is observed on only a small sample.

Table 11 provides data on the frequency of ratings for the WID topic overall and for all of the subtopics under WID. Table 12 indicates some relationships between WID related variables.

4.2 In Depth Analysis of Projects With WID Impact

4.2.1 The Sample

The sample of ERs selected for in depth review on WID included 20 ERs. Of these, 18 had "WID as a major purpose"; two were ERs that did not have WID as a major purpose but had a significance rating (positive or negative) on one or more of the WID subtopics. Selection of these projects was carried out to achieve some balance between regions, interim, final and ex post evaluations, pre- and post-1983 project start dates and findings regarding highly positive or strongly negative ratings. The non-WID purpose projects were selected primarily because they exhibited some strong WID-related ratings, positive or negative. Of the 20 reviewed, 11 were in ANE, 5 in AFR, 3 in LAC bureaus, and 1 in PRE. Eleven of the projects were in ARD, 3 in EHR, 4 in HEA or POP and 2 in SDA/MLT. Final or ex post evaluations constitute 35 percent of the sample.

Table 11. Women in Development

Frequency of Ratings for the Universe of ERs
Reviewed - FYs 1985 - 1986

	<u>+3 to +5</u>	<u>-2 to +2</u>	<u>-3 to -5</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>
	<u>(No. of Ratings)</u>					
IMPACT ON WOMEN IN DEVELOPMENT--						
OVERALL RATING	19	47	5	3	138	212
PLANNED BENEFITS ACHIEVED	12	17	2	174	7	212
KNOWLEDGE/LACK OF KNOWLEDGE OF THE INSTITUTIONAL SETTING	15	30	9	2	156	212
WOMEN AS PROJECT PARTICIPANTS	31	24	5	4	148	212
WOMEN AS BENEFICIARIES	31	34	5	3	139	212
CHANGE IN WOMEN'S STATUS AS A RESULT OF PROJECT	7	27	4	2	172	212
	<u>Yes</u>	<u>NO</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>	
WID WAS A MAJOR PURPOSE OF PROJECT	31	177	1	3	212	
PROJECT IMPLEMENTATION REDIRECTED	16	15	174	7	212	
PROJECT STRATEGY CHANGED	6	25	173	8	212	
IF NO, SHOULD WID HAVE BEEN A MAJOR CONCERN?	51	79	24	53	207	

Table 12. Relationships Between WID-Related Variables

When ^a	Then
Women are project participants	<p>Women are more often beneficiaries</p> <p>A project is considered to have "high WID impact" overall and receives higher implementation and sustainability ratings</p> <p>There is a change in women's status as a result of the project</p> <p>Planned benefits are more often achieved</p>
Gender specifics are introduced during implementation	There is likely to be a change in women's status
There is knowledge of the institutional setting	<p>Women are likely to be project participants or beneficiaries or experience a positive change in status</p> <p>Higher WID impact implementation and sustainability ratings are achieved</p>
WID is a specific purpose of a project	There is a division of project responsibilities by gender in the project design

^aFor each factor in the "when" column, the related "then" column factors are ranked by the degree of their statistical correlation. Overall, the "when" factors are also ranked by their pair-wise correlation coefficient.

Of those in the sample, 60 percent had highly positive over all WID ratings and 25 percent had negative ones.⁹ Sixty percent indicated they were successful in achieving their planned benefits; 50 percent had their implementation redirected and 25 percent had their strategy changed. In 80 percent of the sample, gender specifics were included in the project design or implementation. There were undoubtedly other projects that had negative impacts on WID in the total universe. The ERs, however, generally did not report directly these negative impacts, and the reviewers had to infer these impacts from other information contained in the reports. In fact, the non-WID ERs purpose generally said very little about WID at all.

4.2.2 Positive and Negative Rankings on WID

Evaluation reports in the sample were ranked in terms of their overall impact on WID. The key factors that led to a highly positive overall impact rating on WID included the following:

- Locally based women's institutions and organizations were nurtured and became involved in managing some aspects of the project.
- Women as participants were included in the design and implementation of the project.
- Effective services for women were extended to rural areas.

⁹The projects with highly positive ratings include the following: Kenya: Women in Development (698-0388); Rwanda: Agriculture Education (690-0109); Kenya: Family Planning Management and Research (615-0216); Egypt: Vocational Training for Productivity (263-0900); Jordan: Vocational Training (278-0238); Sri Lanka: PVO Co-financing (383-0060); Morocco: Population Family Planning Support II (608-0159); Guatemala: Women in Development (520-0284); Women's World Banking (940-0002); Honduras: Natural Resource Management (522-0168). Those with ratings of +2 to -2 included: Central African Republic: Rural Development I (676-0015); Zaire: Family Planning Services (660-0094); Egypt: Small Farmer Production (262-0079); Pakistan: Primary Health Care (391-0415); India: Maharashtra Social Forestry (386-0473); Thailand: Siam Commercial Bank (940-0002-1). Those with negative ratings include: Nepal: Resource Conservation and Utilization (367-0132); Yemen: Agriculture Development Support (279-0052); India: Development and Management Training (386-0487); Mult.: Caribbean Agricultural Extension II (538-0068).

- Training programs were tailored specifically to the needs of women.
- Women benefitted directly from training and income-generating projects.
- Women were empowered in terms of new economic or social status, self-confidence, new access to government or private resources and/or traditional stereotypes were somewhat "broken" down.

Negative ratings for WID impact were assigned for such reasons as follows:

- Target beneficiaries were not reached despite a mandate in project design and/or implementation plan.
- Socio-cultural/institutional setting was poorly understood so there were great difficulties implementing the project.
- Obvious gender differences were ignored and women were not allowed/invited/encouraged to participate in the project.

For the purpose of focusing the analysis, the discussion of findings on the subtopics that follow focuses on three areas-- project design and implementation, knowledge of the institutional setting and women as participants or beneficiaries.

4.2.3 WID: Project Design and Implementation

The review of ERs indicates, not surprisingly, that projects have a positive impact on WID when the project design and implementation process take specific account of women's needs and role in the development process. Seven of the subtopics under WID on the rating form were used to get at this issue in reviewing the ERs. These topics included the following:

- WID as a major purpose of the project
- Division of project responsibilities by gender in project design
- Gender specifics introduced during implementation
- Planned benefits achieved
- Project implementation redirected

- Project strategy changed
- If WID was not a major purpose, it should it have been a major concern

The ERs indicated that planning for women's participation at the design stage of a project tends to lead to more focus on women throughout a project. Changes in project strategy or implementation during a project can also lead to a more favorable impact on women. Moreover, gender differentiation in the project design or gender specifics introduced during implementation often led to the achievement of planned benefits and a higher overall WID impact rating.

In the Kenya: Rural Women's Extension, differentiation of project responsibilities by gender was a part of the design and implementation process. The project was intended not only to reach increased numbers of women with quality extension services but also to "integrate women into all rural extension systems." The Peace Corps volunteers who worked with the counterparts were 75 percent female. As the ER noted, one of the key factors that facilitated the project was the "good working relationship between volunteers (PCVs) and their (Kenyan) counterparts." Other factors that were favorable to achieving the planned benefits were "cooperation from other development agencies", "supportive local leadership" and "existing well-organized groups to work with" and the availability of local materials needed for projects. A measure of the success of this project was the surpassing of planned target outputs in terms of number of women trained, project sites established and pilot models developed. The design of having women working with women showed a knowledge of, and sensitivity to the institutional setting and utilized that for the good of the project. It appears that this was one of the factors contributing to overall sustainability.

In the Rwanda Agricultural Education project, gender differentiation was also included as a part of the initial project design and expected implementation process. One of the two project purposes was "to increase the number of women trained in agricultural science and to increase their involvement and influence in rural agricultural life in Rwanda." The training of female agronomists at a special women's agricultural school played an important role in preparing women for extension work that males would not accept.

The importance of gender differentiation at the project design stage cannot be underestimated. A basic premise of the Guatemala: Women in Development project was that the "lack of capital has traditionally prevented women from engaging in income-generating activities outside the home". Thus, the project sought to "create an organization to assist in increasing the economic productivity of poor Guatemalan women in rural and urban

areas and to address the socio-cultural constraints that these women face in development." A newly established credit window was designed to serve the particular needs of "lower economic strata" women who would otherwise not have received loans from male-managed banking institutions. It involved a locally-based PVO--the Rotary Club of Guatemala--which helped to establish a WID foundation to administer the loan fund. By the end of the project, 33 small women-owned enterprises had been established.

Similarly, the Women's World Banking project assisted women to secure credit to establish women-owned, small scale enterprises (SSE) by helping to establish local affiliate credit institutions and by providing loan guarantees to motivate local commercial banks to lend to particular target groups outside a bank's traditional customer group. One of the design and implementation elements most critical to the outcome of the project was the "concentration on serving enterprises which, though excluded from the formal credit market, have a high enough return on invested capital to pay loan charges which cover affiliates' costs." WWB not only communicated confidence in women entrepreneurs, but has also provided an "environment for women to address business and social needs outside of credit and TA." The WWB programs in the Dominican Republic, for example, demonstrated the principle that when gender specifics are part of the design and implementation process and when women participate in the project the overall impact on women is much higher: "The WWB idea of success through mutual effort and interdependence seems to have an impact comparable to the economic benefits of the loans."

Not all projects, however, start out with gender-differentiation in their design or WID objectives in their implementation. But they can "catch up." Projects can be successfully redirected to incorporate a strong women's component as demonstrated by the Honduras: Natural Resources Management project. Initially what WID focus there was fell largely into the traditional pattern of home economics extension and reinforced the sexual stereotyping of women's roles. Two years into the project a study was conducted that identified the role of women in the project's target population and proposed a program to incorporate women more fully into project activities. As a result, 23 women promotoras were hired and began to work with individual women, in families and women's groups in building stoves, starting income-generating projects in agriculture and cottage industry as well as soil conservation projects.

These positive steps were taken in a short period and provided some important lessons learned for continued mid-course corrections, namely that training for women extension workers (promotoras) is crucial to their success in the field; good hiring procedures and merit incentive system will help to ensure longevity of extension staff; and, the availability of a petty cash fund for project expenditures facilitates extensionist work.

Likewise in the Nepal Resource Conservation and Utilization project, a mid-course correction in the implementation process recognized the special importance of women to the success of any conservation and production program. A women's component was added that supported the training of women as well as promoted their participation at the "grass-roots" level in income-generating activities. While the ER noted that these efforts were too new to evaluate it believed that these changes would make a significant difference in the project's impact on women.

In contrast, the Egypt Small Farmer Production project, which had WID as a major purpose and differentiated targets and outputs by gender in the design, did not appear to have as significant an impact on women as participants as it might have because the institutional setting may not have been fully understood. For example, efforts to include women financial analysts and extension agents on the project staff were "frustrated by a dearth of qualified personnel (women) in village bank areas. (Those available) in Cairo are unwilling to move to villages." This situation did, however, lead to a new training program for women managers. On the other hand, women did benefit as the borrowers of 13 percent of all loans, which enabled them to find employment in income-generating activities they might otherwise not have undertaken.

4.2.4 Importance of Knowledge About the Institutional and Sociocultural Setting

Substantial knowledge about women's roles and status in particular institutional and socio-cultural settings was important in terms of a project having a positive impact on women. For example, the Jordan Vocational Training project undertook a study of women's employment opportunities and participation in the labor force to provide the Vocational Training Corporation with ideas on how to utilize a planned training center for women. The study focused on:

- Employment opportunities for women in Jordan at skilled and craft-person levels
- Data and information for programs to increase economic opportunities for women, especially for those from lower income families
- Attitudes regarding participation of women in the labor force
- Priority skill areas needed for potential employment and training programs to create such employment

The study yielded some very useful information about job seekers, employees, and employers as well as the "market place" in general. It became the basis for establishing programs for the training of women and for opening a trade training center for women with 200 places for training in needed traditional and nontraditional skills. In sum, the clear understanding of women's needs that resulted from the study led to a program suited to the experience, demand and known employment needs of women.

Some projects demonstrated a good general understanding of the institutional setting at one level but overestimated the capability of the larger group to respond to project inputs. In Guatemala WID, there was clear recognition of women's need for credit and also of the business community's reluctance to involve low-income women in a loan program. Thus, A.I.D.'s creation of a special "loan window." The project, however, underestimated the amount of training that would be necessary to assist lower income, less-well educated women to manage their new enterprises. It also underestimated the "public relations" effort required to raise the consciousness of the plight of poor Guatemalan women and/or of the economic benefits which can be derived from a project of this type and the adjustments in lifestyle required of low-income women participating in such a project. The ER indicated "that the degree of success of each enterprise was a function of the educational level of the entrepreneurs and that educational opportunities and training impact directly on the level of income."

In contrast, failure to thoroughly understand the institutional setting creates problems for project implementation. In the Central African Republic Rural Development project, the ER noted that there was inadequate information about the local situation available during the design of the project and as such the project objective was poorly conceived. Regarding one project component, it stated that "a proper feasibility study would have identified constraints in management, organization, cultural practices, etc.... whose resolutions are crucial" to project survival. Regarding another component, the ER noted that the "somewhat ambiguous nature of the sexual division of labor" was not clearly understood and that some aspects of the project "may be leading to some tension over the control and profit of beeswax in the domestic unit." It noted that while the project was "making a positive impact (in part on women), its impact could be much more significant if a more carefully researched approach had been used in the project."

Similarly, the Zaire Family Planning Services project, which had WID as a primary purpose, failed to achieve some of its planned benefits in part because it did not take into account the local institutional setting. As the ER noted, much more effort

has to be made "to identify and overcome the cultural, traditional, religious and legal barriers which limit access to contraception." The project set restrictive eligibility criteria which in some cases limited access to married women, making it very difficult, if not impossible for a sizable proportion of those in need (divorced and unmarried women, teenagers and women without their husband's permission) to have access to contraceptive services.

In the Yemen Agricultural Development Support project the lack of knowledge about the complex socio-cultural/institutional setting may mean severe constraints for achieving full WID potential. The ER indicated that these constraints were grossly underestimated at the design stage and stated, "enhancing the role of women in development in conservative, Islamic Yemen requires systematic analysis and understanding of implicit and explicit regulations and practices, the social-cultural factors which vary among Yemen's communities, and the approaches for women's education that have already been applied and accepted. If we are to succeed in including women in this and other projects, we need to focus very carefully at the project design stage, and not merely assume that this by-product can be achieved overtime. Even with a good analytical foundation, we may not be successful. Without it, we have little chance of success."

4.2.5 Women as Participants and Beneficiaries

The data show that there appears to be a strong correlation between women as participants and as beneficiaries and a change in women's status. While the ERs did not always clearly distinguish between "participants" and "beneficiaries", they did reveal some insights about the ways women were drawn into projects, particularly through training programs. Some ERs also indicated that women working with women as trainers/trainees or donors/recipients can often make more progress in positively affecting beneficiaries and improving women's status.

Women benefit when a project addresses their special needs. For example, in the Sri Lanka Cofinancing project, training of rural women in income generation, family health and nutrition improved the knowledge and awareness of rural women. Some of these "beneficiaries" then went on to receive financial assistance for income-generating activities because of their training. Moreover, as they learned more about the functioning of government, they were able to develop better access to high government officials. The principal weakness of this sub-project was the lack of an institutional arrangement whereby the women could continue to work as a group after the project was over.

In the case of the Kenya Rural Women's Extension Project, women were both the principal participants and beneficiaries. As participants, the ER indicated that the majority of the host country project counterparts who received training were female. They in turn shared their new technical agricultural knowledge as extension agents with women and farm families through various agriculture project activities with women and women's groups. Thus, both the participant counterparts and the rural farm women who became involved in income-generating projects with women's groups were beneficiaries. The ER noted that because of the training program, "beneficiaries developed great enthusiasm and had attained a high level of motivation in development work" and "gained more self confidence." The ER did note, however, that "there are ...factors which tend to reduce women's participation in extension. These are the costs of participation and environmental stress which tend to prevent the poorer women from joining extension groups or to drop out when the family resource position worsens."

One of the eight objectives of the PVO Cofinancing project in Sri Lanka was to "increase the participation of women and disadvantaged social groups in development activities by addressing problems of their socio-economic status." The ER noted that the project has a "good record of effectively involving and benefiting women, with eight projects focused on women including projects dealing with women-owned small enterprises, family health, agriculture training, vocational training and nursery school training. As a group, "those sub-projects have increased the incomes of women," and strengthened women's position in their local society as they became "active decision-makers and participants in decisions about the use of project resources in their villages."

The ER noted that success was attributable in part to the project's effort to work with and through locally based women's PVO's such as the Lanka Mahila Samiti, a 50-year old national women's service organization with members in villages in every district. Through the local unit of the LMS, poor, rural women were able to express their ideas for projects, allocation of credit, requests for training, etc. Moreover, the training of business extension agents strengthened the local PVO's own institutional capacity. The ER also noted, however, the impact on women could be improved in some of the subprojects if women were (a) paid the same as men for the same work and (b) trained not only in traditional "female" work (e.g., sewing, dairy), but also in traditional "male" work (e.g., carpentry or masonry) which they could perform.

Some training projects have successfully integrated women as participants in traditionally male-dominated programs. For example, in the Egypt Vocational Training project women were "enrolled in a broadening spectrum of traditionally male dominat-

ed industrial occupation preparatory programs ... due, in part, to an ambitious program mounted by the contractor to acquaint young women with job opportunities (which) developed brochures, posters, and a slide/tape presentation."

In the Morocco Population/Family Planning Support II project, the MOPH recognized that the lack of trained personnel was one of its biggest constraints to successful project implementation and requested USAID to develop skills-based training programs. Its support of a para-medicalization of the system, i.e. the training of 2000 field workers, to provide services to women away from "clinic based and physician dominated" activities benefitted large numbers of poor Moroccan women who were the target group for family planning services. The secondary beneficiaries were mid-level women managers and nurses who also received the special training.

While it is frequently the case that women as participants or beneficiaries are given less attention in a project that does not have WID as a major purpose, the sample of ERs included exceptions. The Maharashtra Social Forestry project recognized the potential of the project to benefit women in rural India and sought ways to encourage women's involvement in social forestry. The ER noted that "both employment of women in nurseries and the number of women-managed nurseries has increased. Unfortunately, districts which have women-managed nurseries have women motivators, whereas districts without women-managed nurseries report only male motivators." Similarly, the Siam Commercial Bank project did not have WID as a purpose yet, "women as entrepreneurs, managers, skilled and unskilled workers are well represented in the 15 firms receiving loans. Many firms are in the least developed areas (North and North East), where unemployment is high and many women have been involved/employed and wages/incomes increased more than could have occurred without the project."

In some projects, the WID component never gets "off the ground" and women do not have a chance to become beneficiaries. The Caribbean Agriculture Extension project recognized the involvement of women in agriculture in the region as producers and marketers and set out to give increased recognition to women. Criteria were established to measure success in this area including increases in the number of female extension personnel, the production of extension materials directed at women, an emphasis on farm families in extension programs, inclusion of women in training programs and the involvement of women in the project itself. But while women were targeted as both participants and as beneficiaries, little progress had been made by the time of the ER, five years after the project began, except nominally in the area of training for women. The reasons for this are not clearly delineated in the ER, except to state that "most extension work in the region is not gender focused." Individual women in several countries have been involved in the project particu-

larly in backyard or community gardening projects, but this seems to be more a result of the commitment of individual extension agents than a "requirement" of the project.

Other projects have failed to reach target beneficiaries for a variety of reasons. The Pakistan Primary Health Care project had difficulty reaching female target beneficiaries for several reasons--cultural traditions that limit the mobility of women in some areas, non availability of female staff for rural areas and because family planning services were not a part of the rural health delivery system. Meanwhile, the health problems of motherhood and newborns go unattended. In India Development and Management Training, WID was major purpose of the project but few women actually participated in the program. Of the first 26 participants to be sent to the US for training only two (8 percent) were women, despite the fact that the project design targeted some 15 percent of all training to be reserved for female participants. While the ER did not specify a reason for this, it implied that bureaucratic government procedures may have hampered the involvement of women.

In the Kenya Family Planning project women were both participants (as trainees) as well as beneficiaries of the project's services. But the magnitude of the problem that this project was addressing, i.e., reducing Kenya's population growth rate and improve health and nutrition status of mothers and children surpassed the resources of the project. Thus, while some progress was made in a pilot area, the project goals were out of line with its resources.

4.3 Lessons Learned

- Locally based women's organizations can often be good partners in the implementation of WID projects.
- Training programs that focus on specific needs of female participants in design, content and organization are more effective.
- The availability of detailed, in-depth knowledge about a given institutional or socio-cultural setting contributes to both the successful design and implementation of a project.
- The extension of effective services in health, agriculture, small scale enterprise or education, etc. to women in rural areas can lead to an improvement in women's economic and social status.

- Effective income-generating programs for rural (or urban) women require considerable doses of administrative support and managerial training.
- Gender differences are frequently ignored in projects unless WID is a major purpose of the project.

5. ENVIRONMENT

5.1 Overall Patterns

5.1.1 Introduction

A.I.D. has an explicit policy of integrating environmental and natural resource concerns into its development assistance program worldwide. Its Policy Determination on Environmental and Natural Resource Aspects of Development Assistance outlines the specific ways in which A.I.D. will assist in the protection of environment and natural resources potential in its strategies, project design and project implementation. A.I.D. does this through assisting developing countries in building the institutional and scientific capacity required for identifying, assessing and solving critical environmental and natural resource problems, establishing programs to address the environmental soundness and long term sustainability of A.I.D. assistance programs and projects, and promoting environmentally sound development projects funded by multilateral and bilateral assistance organizations.

The responsibility for implementing this environmental and natural resource policy rests with all of A.I.D.'s offices and programs at all levels. As A.I.D.'s environmental policy was only published in 1983--after most projects evaluated in FY 85 and FY 86 were already underway, its effectiveness can be only partially assessed in this review. This study examined the impact on the environment as it was discussed in the project evaluation reports reviewed. The following sections summarize and discuss the findings and lessons learned from this review.

5.1.2 Overall Description of the Universe Regarding Impact on Environment

Each of the 212 evaluation reports was reviewed in order to rate it on a scale of -5 to +5 (or 8 or 9 for "not applicable" or "not observed") on each of several environmental subtopics or variables. The variables included the following:

- Overall environmental impact
- Whether environment was or was not a major purpose of the project (yes or no)
- If yes, the degree to which planned benefits were achieved (scale), project implementation was redirected (yes or no), or project strategy was changed (yes or no)
- Unplanned impacts
- Host country environmental policy
- Host country support of institutions for environmental monitoring
- Involvement of host country expertise in the environmental component of the project

Of the 212 evaluation reports reviewed, approximately 16 percent (34) had environment as a "major purpose" of the project. Of this universe 41 percent (14 projects) were carried out in the ANE region; another 41 percent (14) in LAC, and 18 percent (6) in AFR. A sector breakdown of the universe of environment-as-a-major-purpose projects indicates that 74 percent (25) were in ARD; 3 percent (1) in EHR; and 12 percent (4) each in the HEA and SDA sectors. Over 80 percent of the projects began in FY 82 or earlier. Nearly 60 percent of the evaluations of these projects were carried out in FY 85; roughly 30 percent were carried out in FY 86. Two-thirds (24) were interim evaluations; nine ERs were final and one was ex post.

The complete set of 34 projects with environment as a major purpose were of a number of different kinds. Natural resource management projects, focused in such areas as "natural resources management", "watershed management", "resource conservation and utilization", and "range management", were the most numerous (10). Next most numerous were production projects with a significant resource management component, for example "agricultural development support", irrigation, and fisheries (nine). The principal emphasis of seven projects was health and/or environmental sanitation. Three projects were related to energy; two focused on planning; and two were training projects. A final evaluation report discussed two rural road projects in Burundi for which environmental issues had been well addressed.

Of the 34 environment as-major-purpose-projects, 59 percent (20) received an overall environmental average rating of +2 to -2. Thirty-two percent (11) were given highly positive overall ratings for environmental impact. Based on the ERs, reviewers were not able to give ratings to the remaining 9 percent (3) of the 34 projects. With the exception of the ER for the New Lands

Settlement/Regional Development program in Bolivia that did not have environment as a major purpose, there were no strongly negative overall ratings noted for environment in the whole universe of 212 projects.

Of the total of 212 evaluation documents reviewed, 29 percent (61) noted some overall impact on environment. Of these, 23 percent (14) received a significant positive overall environmental rating, 75 percent (46) received an overall environmental rating of +2 to -2, and only one (1.6 percent) received a highly negative rating.

Thirty-two of the 34 ERs which had environment as one of the major purposes were also given ratings for achievement of benefits planned in the project design. Of these 32 ERs, 11 (34 percent) received highly positive ratings for planned benefits achieved, 2 (6 percent) received highly negative ratings, and 19 (59 percent) received ratings of +2 to -2 for planned benefits achieved.

In the 212 evaluation reports reviewed, only 20 percent (43) made any observation of unplanned environmental impacts. Of these 9 percent (4) were given significant positive unplanned impact ratings and 19 percent (8) were given significant negative unplanned impact ratings. For the remaining 72 percent (31), unplanned impact ratings were not significant (i.e., +2 to -2).

Host country government environmental policies were noted in 39 (18 percent) of the 212 evaluations reviewed. Fifteen percent (6) of these were given significant positive ratings for host country environmental policy; eight percent (3) were given significant negative ratings and 77 percent (30) were given ratings between -2 and +2.

Host country support of institutions for environmental monitoring was remarked upon in 17 percent (35) of the ERs reviewed. Seventeen percent (6) of these received significant positive ratings; 14 percent (5) received significant negative ratings and 69 percent (24) received ratings of +2 to -2.

The final item reviewed among the environmental factors--the involvement of host country expertise in the environmental component of the projects--was discussed in 19 percent (41) of the ERs reviewed. Thirty-seven percent (15) of these received significant positive ratings; 10 percent (4) received significant negative ratings and the remaining 54 percent (22) received ratings between -2 and +2.

5.1.3 Statistical Analysis of Environment Impact Topics

A pairwise combination correlation matrix, which included implementation and sustainability sub-variables as well as environmental sub-variables, revealed a few interesting, but not particularly strong correlations. Due to this review's limited level of effort available for statistical analysis, however, no regression analyses were carried out to measure the significance of these relationships. Aside from obvious correlations (e.g., between overall environmental rating and planned benefits achieved--0.88), the strongest correlations were for projects with an environment as a major purpose and between achievement of planned benefits and the following variables: organizational/institutional capacities for continuation of project benefits (0.56); overall sustainability (0.55); timing of procurement (0.53); and quality of project design (0.52). Because the significance of these correlations has not been tested, they only serve to indicate areas of possible, not necessarily probable, interest. Table 13 provides data on the frequency of ratings relating to the overall Environment Impact topic and the subtopics under environment.

5.2 In-Depth Analysis

5.2.1 The Sample

A sample of 21 evaluation reports that provided some specific comments on various environmental subtopics was selected.¹⁰

¹⁰The sample included evaluation reports for the following projects: Burundi: Rural Roads; Malawi: Malawi Self-Help Rural Water Supply (No. 612-0207); Environmental Training for Africans (No. 698-0427); Sahel Manpower Development Project (No. SMDP) (No. 625-0960); India: Maharashtra Social Forestry (No. 386-0478); Morocco: Range Management Improvement (No. 608-0145); Sri Lanka: Reforestation and Watershed Management (No. 383-0055); Sri Lanka: Mahaweli Environment Protection (No. 383-0075); Sri Lanka: Water Management I (No. 383-0057); Oman: Fisheries Development (No. 272-0101); Pakistan: Malaria Control II (No. 391-0472); Philippines: Rural Energy Development (No. 492-0375); Sri Lanka: Malaria Control (1985) (No. 383-0043); Bolivia: New Lands Settlement Regional Development - San Juliano (NP); Dominican Republic: Natural Resources Management (No. 517-0126); Haiti: Fruit Tree Crops Improvement Project (No. 521-0169); Haiti: Agroforestry Outreach (No. 521-0122); Honduras: Natural Resources Management (No. 522-0168); Regional Tropical Watershed Management (2 parts) (No. 596-0106); Peru: Soil Conservation (No. 527-0220); Somalia: Comprehensive Groundwater Development (No. 649-0104).

Table 13. Environmental Impact

Frequency of Ratings for the Universe of ERs
Reviewed - FYs 1985 - 1986

	<u>+3 to +5</u>	<u>-2 to +2</u>	<u>-3 to -5</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>
	<u>(No. of Ratings)</u>					
ENVIRONMENTAL IMPACT--						
OVERALL RATING	14	47	1	1	149	212
PLANNED BENEFITS ACHIEVED	11	19	2	172	8	212
UNPLANNED IMPACTS	4	31	8	4	165	212
HOST COUNTRY ENVIRONMENTAL POLICY	6	30	3	3	170	212
HOST COUNTRY SUPPORT OF INSTITUTIONS FOR ENVIRONMENTAL MONITORING	6	24	5	3	174	212
INVOLVEMENT OF HOST-COUNTRY EXPERTISE IN ENVIRONMENTAL COMPONENT OF PROJECT	15	22	4	19	152	212
	<u>Yes</u>	<u>NO</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>	
ENVIRONMENT WAS A MAJOR PURPOSE OF PROJECT	34	176	0	2	212	
PROJECT IMPLEMENTATION REDIRECTED	19	12	174	7	212	
PROJECT STRATEGY CHANGED	9	24	173	6	212	

Sixteen of these had environment as "a major purpose" of the project.

5.2.2 Positive and Negative Ratings for Impact on Environment

Evaluation reports were rated in terms of their overall impact on the environment. Regardless of the kind of project, those receiving highly positive ratings had the following basic characteristics:

- Strong institution-building components
- Provision for strong short- to medium-term economic motivation to adopt improved resource management practices

Negative ratings were generally given to projects that were particularly weak in either or both of these areas. Effective planning for beneficial impacts was also lacking in many of the evaluation reports which noted negative environmental impacts. These three factors--institution-building, motivation, and planning--are discussed below.

5.2.3 Institutional Factors

Host Country Government Support. The importance of strong host government support was stressed in over a third (8) of the projects. In Malawi, the Self-Help Rural Water Supply Project had strong government support right down to the local level. In Sri Lanka, the Reforestation and Watershed Management Project supported research and training at the national level. Although it did not develop local-level institutions, extension services were added as a line item in the budget for the first time. In India, the Maharashtra Social Forestry Project had strong government support and had succeeded in significantly reorienting and increasing the commitment of staff at the local level, who had historically played an enforcement rather than an extension role. The ER did, however, call for increased attention to developing technical and management skills of the staff.

On the other hand, the ER for the Regional Tropical Watershed Management Project in Latin America indicated mixed ratings for institution-building aspects. It noted that although host country expertise was involved in the project, the project suffered from a shortage of staff, given the overall scope of project activities. The Dominican Republic's Natural Resources Management Project, two quite different evaluations of which were reviewed, noted that host country expertise was well-employed at

the local level, but that the expatriate technical assistance team prepared the overall management plans with minimal host country involvement.

In the Honduras Natural Resources Management Project, the ER pointed out the need for para-technicians to supplement the limited numbers technical specialists in activities at the local level. In Morocco, the ER for the Range Management Improvement Project recommended the creation of capacity at the local level through involving beneficiaries. In another project in Sri Lanka, the Mahaweli Environmental Protection Project, limited attention to administrative development and local participation contributed significantly to the project's lack of progress-- only six percent of A.I.D. funds had been disbursed at the time of evaluation.

Institutional Linkages and Relationships. The ER for the Regional Tropical Watershed Management Project observed that an institution responsible for addressing environmental issues must develop and maintain strong linkages with a variety of institutions, as environmental problems can occur as a result of any and all development activity--not just natural resource projects. Project impact was weak as a result of limited outreach and development of working relationships with non-natural resource agencies.

Similar problems with inadequate interagency relationships were observed in Nepal for the Resource Conservation and Utilization Project (RCUP), in Honduras for the Natural Resources Management Project and in Peru for the Soil Conservation Project. In the Nepal case, programs of the several line agencies participating in the project were only minimally integrated. The first two projects would also have benefitted from more cross-fertilization with other A.I.D. projects in their respective countries.

Other Institutional Factors. The impact of the Rwanda component of the Environmental Training for Africans Project "raised awareness", but needed to institutionalize well-structured and directed integrated resource management planning and practice. Similarly, the ER for above-noted soil conservation project in Peru implies that policy concerns could and perhaps should have been a larger part of the project.

5.2.4 Motivation of Beneficiaries

The ERs for a third (7) of the projects discussed the importance of economic motivation in affecting project impact. The ER for the Honduras Nature Resources Management Project noted that tangible short to medium-term benefits (.e.g, increased crop yields) were sufficient to induce change to improved resource

management technologies. Neither clear title to land nor credit and similar incentives were necessary. The ER for the Peru Project stated that food assistance should not be used as a direct inducement, but rather that conservation practices should be sold on their own merits. The ER observed that where food assistance was used, labor costs for the construction of terraces were dramatically greater than in other areas.

In the India Maharashtra Project, the project design had assumed that increased fuelwood and fodder would be key motivational factors for people to plant trees. However, such was not the case; rather, the opportunity to increase income was the key motivating factor. In the Nepal RCUP, people participated more strongly in direct agricultural and horticultural activities than in watershed management, soil conservation, or forestry. In both of the latter two projects, tree plantings were supported (subsidized and/or managed) to some degree by the government. Given the delay before tree crop production people or local groups were reluctant to assume full responsibility.

In Haiti's Agroforestry Outreach Project, farmers were strongly motivated to plant subsidized seedlings; the problem was in maintaining the trees once they were planted, especially if this involved significant additional labor. An unforeseen impact was the degree to which farmers planted tree seedlings on the more productive, often flatter, lands rather than the lands which most need protection by perennial crops. The ER for a related project in Haiti, the Fruit Tree Crops Improvement Project, observed that the ability to benefit from increased production inputs (including improved conservation management) is roughly proportional to the current resource base--i.e., those with more, benefit more.

In Bolivia, an ER examined the case of new lands settlement in two A.I.D. projects--Sub-Tropical Lands Development and Colonization Consolidation in the Bolivian Sub-Tropics--which ran from 1975 to 1984. Although numerous evaluations had commented quite favorably on the so-called San Julian project as a "success" story, the ER noted that San Julian colonists had merely achieved a subsistence production system, but no commercialization of production. Given the high financial, human, and environmental costs, it concluded, new-lands settlement for merely subsistence purposes is not justified. Among the main shortcomings was the lack of linkages for broader income-producing opportunities, no input-supplying enterprises in the region and only a few output-using enterprises processing low-value commodities. Environmentally, the natural resource base was greatly affected, although to an unknown (unmeasured) degree by the forest-fallow, "predatory burning" system for crop production. Water supply was a serious problem. The report calls for more systematic study and implies that, given the subsistence oriented

system, motivating factors for the adoption of improved resource management practices were not present.

5.2.5 Planning Resource Management and Impacts

Gathering and managing useful information for the planning, monitoring, and evaluation of impacts are seen as important for ensuring that natural resources are well-managed and that adverse environmental impacts do not result from development activities. In Rwanda's component of the Environmental Training for Africans Project the project-initiated data base had proved helpful in several ways:

- Creating awareness of linkages between environmental problems
- Demonstrating the overall connection between environmental problems and the activities of people living in given areas
- Helping formulate recommendations and plans at a national-level conference

The ER recommended that more detailed information collection and analyses be undertaken in a number of areas related both to environmental parameters and to production functions.

In Oman, the ER for the Fisheries Development Project praised data collection efforts producing initial estimates of fisheries resources and called for continued effort to improve data quality, improve skill levels, and broaden the range and scope of analyses. In the Honduras Natural Resources Management Project, the ER stated that data gathering and analysis should be directly related to measuring accomplishment, i.e., impact. Benefit/cost analysis is a poor measure, relevant only in a broader context of qualitative and quantitative assessment.

The Burundi Rural Roads projects are an example of development activities, in this case road construction, which were well-planned with respect to environmental impact.

The most significant unplanned impacts identified in the sample were negative. In many cases, they were due to poor planning. In the Philippines, the ER for the Rural Energy Development Project called for better management and information systems focused on resource availability and demands. No adequate projection of available land for sustained wood production had been carried out and existing wood-processing plants were being fed in part by "bootleg" wood, with unknown impacts. In Sri Lanka and Pakistan, two ERs examined two Malaria Control Projects. In the

former, a weak management information system, slow blood-film diagnosis, and a policy (based on an earlier evaluation) of treating all blood-filmed cases even though only 20 percent turn out positive, resulted in a costly program, overuse of chloroquine, and danger of resistance build-up. In the Pakistan Project, there had been a build-up of insecticide resistance in vectors, aggravated by inefficient resistance monitoring.

Of all of the ERs reviewed (212), 70 percent (149) did not directly address environment and natural resources issues except to note isolated problems. In the Sri Lanka Water Management I Project, no provision was made for domestic water except via the irrigation canals. This required the use of canals in the off-season and resulted in problems with maintenance. In Haiti Tree Crops Project, the ER flagged plans for increased planting of local non-resistant cultivars of cashews. Project planting had already begun to create a reservoir for disease which would have greatly increased disease pressure in the project area. In the Somalia Groundwater Development Project, little direct attention to environmental problems was shown in the ER. However, deep wells increased the size of village clusters, with heavy dependence on a source that could fail and, implicitly, negative impacts through more concentrated exploitation of fragile ecosystems.

5.3 Lessons Learned

- Successful environmental and natural resource projects require strong institutions and sufficient resources (technical, management, and financial) for institution-building;
- Changing local-level natural resource management practices--e.g., agricultural production and forest management--requires strong incentives. However, tangible short- to medium-term benefits are sufficient to induce change to improved resource management technologies.
- Environmental problems can occur as a result of any kind of development activity. Positive impact is enhanced by outreach and development of working relationships with non-natural resource agencies;
- Environmental problems are often linked to each other and must be addressed through an approach that embraces all elements of inter-related problems;

- Effective planning enhances opportunities for beneficial impacts. Most seriously negative environmental impacts can be foreseen and acted upon more effectively through a broader planning perspective during project design.
- Environmental and natural resource management are not generally addressed fully during design, implementation, or evaluation of A.I.D. projects.

6. PRIVATE SECTOR

6.1 Overall Patterns

6.1.1 Introduction

A.I.D. has promulgated a specific private enterprise policy (A.I.D. Policy Paper, Private Enterprise Development March 1985). Implementation of this policy is a "fundamental objective of A.I.D.'s assistance to LDCs," not a sectoral activity or an add-on to other specific projects (p. 16).

This private enterprise policy concentrates upon promoting the establishment of a climate conducive to LDC private sector activity. Thus, activities that foster competitive markets and the growth of private enterprise in developing countries are undertaken. Special emphasis is given to demonstrating that such efforts benefit A.I.D.'s target group--the poor majority of people in developing countries.

Carrying out the specific components of A.I.D.'s private enterprise development (PRE) policy is principally the responsibility of A.I.D. missions supported by their regional bureaus. These components include conduct of policy dialogue to encourage the development of policies supportive of private sector growth, development of legal and regulatory structures and practices that support private enterprise activities, provision of management assistance and technology transfer to private sector entities, provision of A.I.D.'s financial resources at market prices, encouragement of private sector provision of traditional public sector services, increases in parastatal exposure to market forces and divestiture of their government interests, encouragement of capital saving technology where appropriate, assistance in training indigenous entrepreneurs in business topics, and introduction of more private sector resources and market forces into infrastructure projects.

The extent to which A.I.D.'s private sector emphasis has permeated its projects world-wide and the effectiveness of A.I.D.'s private enterprise development policy can be determined,

in part, by examining projects in terms of their impact on the private sector. This evaluation review and analysis effort examined the impact of A.I.D. projects on the private sector in developing countries as it was discussed in the ERs reviewed. The following discussion summarizes the findings and lessons learned from this review and analysis.

6.1.2 Description of the Universe Regarding PRE

Of 212 project evaluations reviewed for all areas, 45 projects (about 21 percent) had PRE as a major purpose. Of those, 16 projects (36 percent) were carried out in the LAC region (or 28 percent of all ERs in the LAC region) and 16 projects (36 percent) in ANE (39 percent of all ERs); seven projects (16 percent) were carried out in AFR (29 percent of all ERs in the AFR region). The PRE bureau carried out six projects--two in Thailand, one in Kenya, and three in multiple countries.

When projects for which PRE was a major purpose are allocated to sectors, the largest number (21) was in ARD; 15 were in SDA; seven were in EHR; one each was in MLT and POP. Sixty percent of the projects (25) began prior to 1983. (Three of the 45 PRE projects had no available start-up data in the documentation available.) Nearly 67 percent of the evaluations were carried out in 1985. Seventy-five percent (34) of the evaluations were interim, while 18 percent (8) were final and 7 percent (3) were ex post.

For projects with PRE as a major purpose, 10 (22 percent) had highly positive ratings for their overall impact on private enterprise development; four projects (9 percent) had strong negative overall impact ratings. Average overall impact was reported for 27 projects (60 percent). For four projects (9 percent), no overall impact was documented in the ERs.

These results contrast sharply with those projects for which PRE was not a major purpose. Only 1 percent of the 167 non-PRE projects had a strongly positive overall impact on the private sector; 11 percent had a strong negative impact. For 71 percent of these non-PRE projects, the ERs reported no information that could be used to assess their impact on the private sector.

When PRE-purpose ERs were reviewed by region, little difference in performance was discernable. However, PRE Bureau projects were noticeably more successful in achieving high overall impact ratings than projects within the regional bureaus. While the number of PRE Bureau projects was small--six in total--four achieved overall PRE impact ratings of +3 or higher.

The projects for which PRE was a major purpose exhibit substantial consistency when viewed in terms of variables such as whether planned benefits were achieved, the number of entrepreneurs involved or impacted, employment impact, value added contribution and impact on the incomes of the poor. Invariably, more projects--whether in AFR, LAC, PRE, etc.--exhibit high rating for realizing planned benefits and the number of entrepreneurs involved than for employment creation, value added or impact on the incomes of poor wage earners.

Nearly 30 percent of PRE-purpose projects had highly positive ratings for planned benefits and number of entrepreneurs involved. This dropped to 13 percent for employment and value added and 7 percent for impact on the incomes of poor wage earners. In two of 45 PRE projects (four percent) were the planned benefits of the project reported either as not applicable or not observed in the ER; however, in 28 of these 45 PRE projects (62 percent) the impact of the projects on the incomes of poor wage earners was not applicable or not observed in the ER. This progressive increase from four to 62 percent in the not applicable/not observed category occurred as the most sought after impacts of PRE projects were examined. Thus, it appears that PRE projects are successful in achieving their most general impacts but have more difficulty in achieving more specific impacts.

Thirteen percent of non-PRE projects had a reported impact on employment creation; 87 percent had no applicable or observed impact. Only 2 percent of the non-PRE purpose projects had a highly positive rating on employment creation. Two percent of these projects also had strongly negative employment creation ratings. Similarly, as to impact on the incomes of poor wage earners, 12 percent of the projects had an effect, whereas 88 percent had no applicable or observed impact.

The high number of nonapplicable or nonobserved ratings for key impact areas suggests that many A.I.D. projects are not designed explicitly enough to achieve desired impacts (such as employment creation) and that evaluation procedures are not adequate to capture such impacts if and when they do occur. Importantly, A.I.D., via its evaluation procedures, is not measuring adequately the impact of its projects on important variables--employment, income of the poor wage earners, etc. Areas for further inquiry arise from these findings: Can PRE-purpose projects which achieve intended benefits and assist numerous business persons be aimed more effectively at employment generation and meeting the income needs of the very poor? Can evaluation instructions and methods be improved to document the degree to which such areas are being impacted by PRE efforts?

PRE-purpose projects with strongly negative implementation ratings amounted to 40 percent of the total, the exact same percentage as non-PRE purpose projects. Quality of design received

the most strong negative ratings for PRE purpose projects--32 percent. Again, this was exactly the same percentage as for non-PRE projects.

For this same set of PRE projects, 13 percent received highly positive ratings for sustainability (compared to 10 percent for non-PRE projects), whereas 29 percent received strong negative ratings (contrasted to 25 percent for non-PRE projects). Strength of constituency ratings were strongly positive in 31 percent of the cases (9 percent higher than for non-PRE purpose projects) and strongly negative for 13 percent. With respect to host country policies being supportive, 18 percent of the projects had a highly positive rating (compared to 22 percent for non-PRE purpose projects), whereas 20 percent had a strong negative rating. Organizational capacity for continuing project benefits was strongly positive for only 2 percent of the PRE purpose projects compared to a much higher 13 percent for non-PRE purpose projects; 24 percent had strong negative ratings (compared to 35 percent for non-PRE projects).

6.1.3 Statistical Analysis of PRE Variables

Working from a pair-wise correlation analysis for all ERs, strong relationships were found between some PRE-related variables. The most important of these are cited below:

<u>When</u>	<u>Then</u>
PRE is a specific purpose of a project	Project impact on the number of entrepreneurs, amount of private sector employment and value added by the private sector is likely to be more significant.
Project implementation and sustainability ratings are high	The planned benefits of a PRE-purpose project are more likely to be realized.
The number of entrepreneurs involved is larger	The overall impact on the private sector is likely to be greater, as is project impact on private sector employment values added by the private sector, the incomes of the poor wage earners and foreign exchange earnings.
	Project implementation and sustainability ratings are likely to be strong

<u>When</u>	<u>Then</u>
Host country policies strongly support private enterprise	Overall project impact is likely to be greater, more planned benefits tend to be achieved, and project sustainability is noticeably enhanced.
Women are involved as beneficiaries in PRE-purpose projects	The planned benefits achieved, number of entrepreneurs, private sector employment, value added by the private sector and incomes of poor wage earners are likely to be greater.

Table 14 shows the frequency of ratings for Overall Impact on the Private Sector and for the related subtopics.

6.2 In-Depth Analysis of PRE Purpose Projects

6.2.1 The Sample

To examine further the detailed lessons of PRE purpose projects as documented in the ERs, a total of 30 ERs were selected. Of these 30, 23 covered PRE purpose projects; seven were non-PRE purpose projects. Selection of this sample was carried out to achieve balance between regions, interim, final and ex-post evaluations, pre- and post-1983 project start dates, and findings regarding highly positive or strongly negative ratings. The non-PRE purpose projects were selected primarily on the grounds that they exhibited strong PRE-related ratings, positive or negative.

By region, the sample included seven AFR projects, seven ANE projects, nine LAC projects and six PRE projects. Twelve were final or ex post evaluations; 18 were interim evaluations. Projects represented by 23 of the ERs selected began prior to 1983. The ERs selected fell into the following sectors: ARD, 19; EHR, 2; SDA, 9.

Table 14. Impact on Private Sector
Frequency of Ratings for the Universe of ERs
Reviewed - FYs 1985 - 1986

	<u>+3 to +5</u>	<u>-2 to +2</u>	<u>-3 to -5</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>
	(No. of Ratings)					
IMPACT ON PRIVATE SECTOR--						
OVERALL RATING	12	69	9	4	118	212
PLANNED BENEFITS ACHIEVED	13	22	8	165	4	212
UNPLANNED IMPACTS	9	50	7	5	141	212
NUMBER OF ENTREPRENEURS	14	32	3	37	126	212
PRIVATE SECTOR EMPLOYMENT	9	28	4	34	137	212
VALUE ADDED BY PRIVATE SECTOR	8	25	4	36	139	212
INCOMES OF POOR WAGE EARNERS	7	26	3	35	141	212
FOREIGN EXCHANGE EARNINGS OR SAVINGS	2	17	5	42	146	212
HOST COUNTRY POLICY RE: P/E	10	21	6	30	145	212
INVOLVEMENT OF HOST-COUNTRY EXPERTISE IN P/E COMPONENT OF PROJECT	15	23	1	40	133	212
	<u>Yes</u>	<u>NO</u>	<u>N/A</u>	<u>N/O</u>	<u>TOTAL</u>	
PRIVATE ENTERPRISE WAS A MAJOR PURPOSE OF PROJECT	45	166	0	1	212	
PROJECT IMPLEMENTATION REDIRECTED	20	23	165	4	212	
PROJECT STRATEGY CHANGED	10	32	165	5	212	
IF NO, SHOULD PRE HAVE BEEN A MAJOR CONCERN	54	67	41	49	211	

Numerous areas were examined to help identify the impact of each project on PRE activities, and an overall impact on PRE was determined if possible. Subtopics under this overall rating were also considered and rated. These included the following:

- Was PRE a major purpose of the project?
- Were the planned benefits of the project achieved?
- Did unplanned effects result?
- What was project impact on the number of entrepreneurs?
- What was project impact on private sector employment?
- What was project impact on value added by the private sector?
- What was project impact on the incomes of poor wage earners?
- What was project impact on foreign exchange earnings or savings?
- How supportive of PRE was host country policy?
- What was the degree of involvement of host country expertise in the PRE component of the project?

6.2.2 Highly Positive and Strongly Negative Impacts on the Private Sector

ERs from the sample set were specified as to overall impact on the private sector--highly positive or strongly negative. Of all 30 projects, 11 were rated as having highly positive impacts;¹¹ seven had strongly negative impacts.

¹¹The projects in this group are Agricultural Cooperative Development International (No. 938-0225), ANERA West Bank/Gaza Development (No. 298-0159), North Shaba Rural Development (No. 660-0059), Caribbean Regional Development Training, CARICOM Component (No. 538-0014), Dominica Banana Company (No. 538-0083), Fisheries Development (No. 272-0101), Kenya Commercial Finance Co., Ltd. (No. PN), Private Sector Rehabilitation (No. 656-0201), Siam Commercial Bank, Ltd. (No. 940-0002), Women in Development: Rural Women's Extension (No. 698-0388), and World Women's Banking (No. 940-0002).

The 11 cited for having highly positive impacts on the private sector are reviewed briefly here. Key ingredients for a highly positive overall impact on private sector development exhibited in these projects included:

- A group of dynamic, but relatively disadvantaged, entrepreneurs with opportunities constrained by specific factors that could be addressed directly by project inputs and activities. The constraints addressed most effectively were access to finance and to technology; where women were assisted directly, project results were often very good.
- An existing market for project input(s) and for the output of those assisted by the project; project activities undertaken were usually commercially sound or had the potential of becoming so.
- Many entrepreneurs/farmers, often reached through intermediary organizations such as commercial banks or cooperatives; project results were better when project activities bridged from or leveraged the outreach, management or other capacity of existing formal institutions.
- Host country government policies strongly supportive of private sector activity or host governments amenable to making their policies more supportive.
- Strong institutional capability to deliver specific project inputs and to adjust to the needs/demands of the beneficiaries and their market place; decentralization was a hallmark of several successful PRE projects.
- Concentration on one or a few key constraints and the beneficiaries affected by them; successful projects did not try to deal with every potential problem nor to reach every possible beneficiary.

The characteristics of the seven projects which received strong negative ratings¹² contrast in several ways to the positive projects:

- Inadequate inclusion of private sector concerns in project design and implementation (e.g., private sector

¹²The projects in this group are Agricultural Production Program (No. 150-0023), Comprehensive Groundwater Development (No. 649-0104), Feasibility Studies Cost Sharing Program (No. 940-0002), Natural Resources Management (No. 517-0126), New Lands Settlement Regional Development, Private Sector Feasibility Studies (No. 263-0112), and Structural Adjustment Program (No. 615-0213).

activity was incompletely planned for, actively resisted or poorly supported in terms of policy or operations)

- The address of broad issues (e.g., policy changes to support the private sector) impacting on the private sector but not dependent upon private sector actions
- Centralized project activities that fail to reach out to entrepreneurs or to meet their needs
- An institutional base supporting project activities inadequate to meet private sector needs sufficiently or flexibly

Comparison of these characteristics of projects that were successful and unsuccessful in improving private sector development suggests several conclusions. First, successful PRE purpose projects tend to focus on narrow constraints and to deal directly with the private sector in eliminating them. When women are dealt with directly as project participants and beneficiaries, they benefit substantially from and add to the success of such PRE efforts. Second, many successful PRE purpose projects have focused on a very limited subset of developing country entrepreneurs who have maximum potential for achieving progress; such projects in their "second generation" will have to include entrepreneurs faced with more difficult and complex development constraints. Third, supportive policies and strong institutions coupled with decentralization and drawing support from formal institutional capacity are important to the success of projects in fostering PRE development. Fourth, inadequate consideration of PRE as a major project purpose during design and implementation undermines project impact on the private sector. Fifth, on the basis of the ERs considered, PRE purpose projects that deal with broad issues affecting the private sector tend not to involve private enterprise directly in such efforts and, to date, have resulted in less immediately observable impact on private sector development than more narrowly focused PRE projects.

6.2.3 The Number of Entrepreneurs Reached by PRE Purpose Projects

The number of entrepreneurs in PRE-purpose projects tends to be associated with their impact ratings on private sector development--overall impact, private sector employment, value added, and incomes of poor wage earners. Likewise, there is a high correlation between the number of entrepreneurs and positive impacts on women in development in the ERs considered. Despite such high correlations, most of the successful PRE purpose projects reviewed did not reach a large enough number of entrepreneurs (or deal with entrepreneurial constraints in substantial

enough breadth and depth) to have a major impact on private sector development in most countries. In future PRE efforts, however, the number of entrepreneurs involved may be able to serve as a proxy for other variables being considered, especially if women are included as part of such a target group.

The evidence available in the sample ERs regarding the relationship between numbers of entrepreneurs involved and project success is set forth briefly below.

Siam Commercial Bank fully disbursed its US \$4.0 million loan fund to 15 established entrepreneurs. Its good management, strong marketing of the sub-borrower program and appropriate commercial interest rates led to a highly positive overall impact on PRE rating for the project. However, a small number of entrepreneurs was involved--necessarily so because of Siam's status as a pilot effort. A broad scale impact on private sector development in Thailand will depend on a future expansion of the project concept to a larger number of entrepreneurs, perhaps without the use of additional A.I.D. resources.

Likewise, in Kenya Commercial Finance Co., Ltd. only 38 sub-borrowers were served, taking up U.S. \$1.0 million of the total U.S. \$5.0 million loan fund available. While less successful than the companion Siam effort, this pilot project received a highly positive rating as to its overall impact on private sector development. Yet, its true contribution also awaits expansion of the project concept to additional entrepreneurs, a process already reportedly underway by Kenya Commercial Finance Co. with its own resources.

World Women's Banking resulted in 626 loans in four countries via both commercial banks and WWB affiliates. In reaching this larger group of beneficiaries, this project, like Siam and Kenya, relied on the efforts of intermediaries and on serving entrepreneurs for whom the return on their projects can be profitable and cover WWB and intermediary loan charges. In contrast to Siam, most of the entrepreneurs benefited by WWB are excluded from the formal credit market. WWB's efforts also include substantial latitude for each affiliate to develop its own criteria and procedures in contrast to the more rigid structures used in the other cases (e.g., Kenya).

ANERA/West Bank/Gaza Development reached a large number of entrepreneurs indirectly by financial and technical assistance support of various cooperatives (and municipalities). Over 100 sub-projects were approved for A.I.D. assisted financing (of which 75 percent had been implemented), many of which directly benefited multiple entrepreneurs. By assisting in making cooperatives viable in a difficult economic development arena, this project reportedly has an extensive and highly positive impact on private sector development. Likewise, Urban Small Enterprise

Development reached 2100 entrepreneurs with loan funds at the time of its interim evaluation, with 3,000 targeted by the PACD. The IMET effort reached over 2,000 businessmen, farmers and trainers with training assistance specific to their entrepreneurial needs.

In contrast to these larger beneficiary groups, LAAD-CA made loans to 13 persons at the time of its final evaluation, some of whom were repeat customers. LAAD-CA's job creation impact was nine percent of the target; its overall PRE impact rating was only +1. Similar was the progress of the Feasibility Studies Cost Sharing Program which resulted in 16 approved applications. Fish Production System Development planned to reach 1280 farmers as participants, but at the time of its final evaluation had reached 360, or 28 percent of the target. Its overall PRE impact rating was low.

6.2.4 The Influence of Host Country Policies

Host country policies regarding private enterprises are highly correlated with overall project impact on the private sector, achievement of planned benefits and various aspects of project sustainability. Thus, PRE-related projects for which host country policies were strongly supportive initially or became so during the project tended to be more successful and potentially more sustainable than projects for which policies were weak or contrary to private sector activities. In some cases, however, micro-policy effects were positive while overall policy effects were or may well have been negative.

Mozambique Private Sector Rehabilitation showed one of the strongest PRE policy-related impacts. The Government agreed to specific liberalization efforts and achieved them, with strongly positive private sector impacts as a result. A rating of +3 was achieved for overall impact and benefits achieved. In Dominica Banana Co. the policies of the government were reluctantly supportive of structural change, including privatization of some important marketing functions. Achievement of planned benefits and sustainability were not as significant as hoped for, but major progress was made in a difficult situation. As a rating, both overall impact and benefits achieved were +3. In Thailand, Private Sector Development, policy changes involving more private sector involvement in policy discussion and encouragement of linkages with outside investors were made. Project results lagged behind expectations due to a poor design, but some progress was made and more was expected.

In Kenya Commercial and Siam Bank, micro-policies were supportive of the project concept; however macro-policies were mixed or non-supportive (e.g., allocation of commercial credit) of

overall PRE development. (But see the Kenya: Structural Adjustment Program, cited below, as an example of a project that did not work well in part because of poor Kenyan Government policies.) It is interesting in both ERs that the policy of forcing commercial banks to allocate credit to the agricultural sectors (even when it results in lack of lending and losses on that portion of the bank's assets) is referred to positively and without caveat as evidence of the government's support of the sectors at which the sub-project lending was directed in both projects.

Numerous projects had negative policy ratings for PRE. As mentioned above, in Kenya Structural Adjustment Program, progress was much less than anticipated primarily because planned policy changes were not achieved. Its overall impact on PRE and achievement of planned benefits were both rated -4. In Small Farm Mechanization, multiple contrary policies were detrimental to the overall project purpose of increasing indigenous production of farm machinery. These included inappropriate exchange rates, policies that discouraged farm production (which in turn discouraged use of farm machinery), duties on imports of intermediate goods for farm machinery manufacture, and licensing requirements that discouraged local manufacturing, to mention only a few.

Small and Medium Enterprise in Liberia achieved less than anticipated in part because of poor government policies with respect to SSE, lack of a check clearing system and overall poor economic policies. New Lands Settlement, while successful in many respects, made marginal progress in others because of poor policies--especially with respect to land titling, poor public sector services such as health facilities, road maintenance, potable water, agricultural inputs (including credit) and lack of improved agricultural technology for the colonizers.

Fish Production Systems in Jamaica was less effective than planned because government policies emphasized more production rather than distribution of benefits from production, focused on working with a few large operators rather than smaller farmers and did not ensure the critical research and training necessary to continue project benefits.

6.2.5 Women in Development and PRE: A Mutuality of Interests

There is a high degree of association between selected PRE- and women in development variables in the ERs examined. Thus, when PRE-related projects include more women as beneficiaries they are likely to result in greater overall impact on PRE, achievement of planned benefits, number of entrepreneurs involved, private sector employment, value added, and impact on

the incomes of poor wage earners. This high correlation appears reasonable given general knowledge about the significance of women in major areas of the private sector in developing countries. It also is attributable in part to the universe of ERs included in this assessment. Several important PRE purpose projects in the ER universe dealt principally with women beneficiaries.

For those PRE projects dealing specifically with women, the strong relationship between WID and PRE objectives and results is logical. In Women's World Banking (a successful credit program for women entrepreneurs of SSEs) overall PRE impact, achievement of planned benefits and other results directly benefit women, while also achieving desired PRE results. The impact of ENERA on women per se is not broken out in the ER, but it implies that they benefit substantially from the PRE project. In Central African Republic: Rural Development I women benefit directly from honey and wax processing and to a lesser degree, from rice and fish culture improvements. Thus, while the project produced limited PRE results, its positive impacts on women are documented in the ER. In Morocco: Sector Support Training, women were to be given priority for training; few had actually been trained, however.

In contrast to PRE projects for women or in which the situation of women is accounted for explicitly, the ER universe included many PRE projects which did not refer to women at all, even when it was highly appropriate. Thus, when women are not specifically the target group of PRE projects, they are seldom mentioned or accounted for in PRE efforts. SMEDS in Liberia, for example, makes no mention of women in its SSE lending, despite their importance in West Africa in the sector. Likewise, LAAD-CA takes no account of women despite the fact that they comprise 40 percent of the employees of the 13 firms to which loans were made. In Dominica Banana Co. no mention is made of women despite their importance as banana farmers, laborers in field packing, in boxing plants and in ship loading. Siam Bank and Kenya Commercial both mention women fleetingly. In Siam, they were important as owners or part owners in 40 percent of the 15 loans made. Thus, while WID was not included as an element of the project, it became an important component and lent variables such as women as beneficiaries in addition to increased employment, etc. In Kenya, women comprised 35 percent of the owners of the 38 firms which were sub-borrowers. However, only two loans were made to women as sole-owners/borrowers. Again, however, this involvement of women as beneficiaries led to simultaneous WID and PRE impacts.

In the ER universe examined, the high association of WID and PRE resulted from PRE projects focused specifically on women and PRE projects that included a substantial number of women as beneficiaries. Both PRE and WID objectives benefited. If PRE proj-

ects accounted for WID concerns more explicitly, the mutuality of interests between WID and PRE would be enhanced.

6.3 Lessons Learned

- Desired impacts of PRE projects need to be explicitly planned for and evaluated if such projects are to realize and document achievement of important A.I.D. objectives such as employment generation and income increases for the poor.
- To enhance the impact of PRE projects, the number of entrepreneurs affected by each project needs to be as large as possible.
- Host country policies highly supportive of private enterprise development are a major determinant of the success achieved by PRE projects.
- WID concerns need to be an explicit part of PRE projects in which they are significant to increase the impact of such projects on private sector development.
- PRE concerns need to be an explicit part of each A.I.D. project in which they are significant to increase the impact of such projects on private sector development.
- Successful PRE projects to date address narrow constraints with specific project inputs and activities; future projects must deal with multiple and more pervasive development constraints faced by the majority of entrepreneurs.
- Decentralization of PRE related activities and bridging off of existing formal institutions (such as commercial banks) enhances the impact of PRE projects.

ANNEX 1

ARTICLE III -- STATEMENT OF WORK

The contractor will undertake and complete the following tasks:

A. Categorization of Evaluation Reports

1. Based on lists and actual reports provided by PPC/CDIE, an initial comprehensive review of evaluation reports and related materials. These include:

a. Approximately 350 evaluations of AID projects and programs, submitted by AID field Missions, AID/W office and CDIE during FY 85 and 86. Contractor will make arrangements necessary to transport the reports from PPC/CDIE offices to contractors' place of business and to return these to PPC/CDIE upon completion of the work.

b. Computer printout of active AID projects, including amounts obligated to date, for FY 1985 and FY 1986 projects, and copies of Congressional Presentations covering those years.

2. Development of a matrix consisting of a checklist of descriptive and substantive elements against which the contractor will review and process all evaluation reports. This matrix will include:

a. A listing of FY 85/86 evaluation reports by Bureau, by sector (as identified by AID) and then by country (alphabetical).

b. Descriptive elements about the projects/programs evaluated and about the evaluation reports. For the first: the project number; project/program title; LOP; dollar amount obligated, as identified in 1b above. For the second: interim/final/ex-post; internal/external; contractor/AID/mixed team; and specific aspects of the report format (executive summary included; PES/ES included; table of contents; statement of evaluation purpose; Scope of Work included; methodology described; conclusions; recommendations; lessons learned).

c. Substantive elements: Five topics and selected sub-topics. Contractor will not be expected to research information in these 5 topics and selected sub-topics beyond that in the evaluation reports. The topics are:

- implementation constraints
- impact on private sector
- role of women in development
- sustainability
- environmental impact

In preparing the matrix, contractor will consult with PPC/CDIE regarding inclusion in the checklist of one or more sub-topics or factors under each topic, which will be derived from final lists of questions under each topic as agree to with PPC/CDIE. Under the topic "implementation constraints", the contractor will include the following sub-topics: months project behind schedule; procurement delays; delays in contracting implementation advisors/team; poor project design; understanding with borrower/grantee; and delay in monitoring/evaluation affecting project management. For the other topics, one to three sub-topics will be determined in consultation with PPC/CDIE.

B. Significance Rating of Topics/Sub-Topics

Contractor will review 350 reports and will rate the significance, as given by the evaluation to the topics/sub-topics as these appear in the report, on a scale of 1 to 5 (with 1 connoting little or no significance and 5 connoting high significance). This scaling mechanism will include some method of indicating positive or negative significance. Since almost all the evaluation reports were generated through AID's decentralized evaluation system, contractor will recognize that the reports vary in terms of the specific questions addressed in each evaluation, the scope and depth of the analysis contained in each report, and the quality and reliability of the data used to support the findings.

A completed preliminary Matrix with initial assigned ratings will constitute the interim report for this contract, to be submitted o/a eight weeks following signing of the contract.

C. Analysis of Lessons Learned

Using appropriate samples from the 350 reports, contractor will identify and describe lessons learned for each of the five topics. The contractor will:

1. Select detailed factors/questions for analysis of lessons learned: Contractor will refer to lists of questions provided by PPC/CDIE for the topics on women in development, sustainability and environmental impact, and will consult with CDIE regarding final relevant questions for all five topics (not all of which maybe applicable to every report). CDIE will provide Contractor with lists of initial questions under each topic at the time the 350 reports are delivered. Following early agreement between CDIE and Contractor on final lists of questions for each topic (which will be the same as those used in task 2c), Contractor will focus subsequent analysis on these questions for the purpose of deriving lessons learned.

2. Select a sample of reports for in-depth analysis of lessons learned. In terms of the level of effort expected under this contract, contractor will select an average of 20 reports per topic for intensive review and analysis. Within this level of effort, contractor may assign more or fewer reports to each topic as contractor deems necessary to investigate lessons learned. In drawing the sample, contractor will consider:

- a. Reports from among the 350 on a list of possible candidates provided by PPC/CDIE on the topics of women in development, sustainability, and environmental impact.
- b. Reports which were assigned high significance values relative to the topic under Task B above.

This in-depth analysis will explore, to the extent possible from the material in the selected reports, the causes and explanations for project/program results found by the evaluators.

3. If, during the performance of this task, contractor encounters unusually difficult selection/analytical problems, or notes findings that, by virtue of their occurrence, distribution or unique character, may warrant immediate PPC/CDIE attention, contractor will refer these matters to PPC/CDIE for resolution.

D. Written Report Presenting a Synthesis of Findings and "Lessons Learned" from AID Evaluation Reports, and Spoken Presentation to AID Staff.

Contractor will deliver to PPC/CDIE a written report on the results of the review and analysis undertaken in Tasks B & C above. This report will include the following information:

- A final matrix and rating of all reports, presented as an annex, with some summary data (e.g., proportion of interim/final evaluations, external/internal evaluations).
- A summary of major patterns revealed by the matrix, e.g., patterns by region, by sector, frequency of significance ratings.
- Lessons learned for each topic derived from the in-depth analysis of selected reports.

ANNEX 2

List of Evaluation Reports by Selected Characteristics and Overall Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRE Impact Overall
** BURFAU: AFR												
* SECTOR: ARD												
BOTSWANA	Agricultural Technology Improvement	633-0221	1981	9.0	I	1984	Y	-1	-2	1	9	9
BOTSWANA	Renewable Energy Technology	633-0209	1980	3.3	F	1985	Y	-2	-3	9	9	9
BOTSWANA	Accelerated Impact Program—Borehole Drilling	698-0410-21	1979	0.0	E	-	Y	-1	3	9	3	9
BURUNDI	Rural Roads	MILT	-	0.0	I	1985	Y	-2	2	3	3	9
CAMEROON	Small Farmer Livestock and Poultry Development	631-0015	1980	1.3	F	1985	Y	-3	2	9	9	9
CENTRAL AFRICAN REPUBLIC	Central African Republic Rural Development I	676-0015	1982	1.0	E	1985	Y	-3	-3	2	9	2
CONGO	Smallholders Agricultural Development II (SMAG II)	679-0002	1983	2.8	I	1985	Y	-2	-2	9	9	1
CONGO	Congo Primary Health Care	698-0410-30	1982	0.5	F	1985	Y	-3	-3	2	2	1
CONGO	Smallholders Agricultural Development I (SMAG I)	679-0001	1981	3.5	F	1985	Y	-3	-3	9	9	1
EQUATORIAL GUINEA	Equatorial Guinea Cooperative Development	653-0002	1983	3.0	I	1986	Y	-3	-2	-2	9	9
EQUATORIAL GUINEA	Agricultural Development	653-0001	1981	2.0	F	1986	Y	-4	-4	9	9	8
GHANA	Managed Inputs and Delivery of Agricultural Service (MIDAS)	641-0102	1980	9.5	F	1986	N	-3	-3	9	9	-3
KENYA	Agricultural Systems Support	615-0169	1978	49.8	F	1985	Y	-2	2	9	9	9
KENYA	Women in Development: Rural Women's Extension	698-0388	1980	1.1	F	1985	Y	-2	3	4	1	4
MOZAMBIQUE	Private Sector Rehabilitation	656-0201	1984	30.6	E	1986	Y	-1	2	9	9	3

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Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRE Impact Overall
MULT	CIMMYT On Farm Research	698-0444	1982	1.2	F	1985	N	-2	-2	9	9	9
MULT	Semi-Arid Food Grains Research and Development (SAFGRAD)	698-0393	1977	19.2	F	1984	N	-3	-2	9	1	1
NIGER	Niamey Department Development II	683-0240	1981	13.6	I	1985	Y	-3	-2	2	9	8
NIGER	Niger Integrated Livestock Production	683-0242	1983	13.4	I	1986	Y	-4	-3	9	-2	9
RWANDA	Agriculture Education	696-0109	1979	4.1	I	1985	N	-3	2	3	2	2
RWANDA	Fish Culture Project (2)	696-0112	1981	2.5	I	1985	N	-4	-2	-1	-1	-1
RWANDA	Projet D'Enquetes et Statistiques Agricoles (SESA)	696-0115	1981	3.7	I	1985	Y	-3	-2	9	9	9
RWANDA	National Fish Culture	696-0112	1981	2.5	I	1986	N	-4	-4	2	2	1
SOMALIA	Comprehensive Groundwater Development	649-0104	1979	18.8	F	1986	N	-3	-3	2	-2	-3
SUDAN	Southern Rural Infrastructure, Phase I	650-0031	1980	3.5	E	1985	Y	-3	-3	9	9	9
TANZANIA	Farming Systems Res. and Related Activities	621-0156	1982	3.0	I	1986	N	-2	-3	2	9	9
ZAIRE	Private Management Support	660-0113	1985	0.8	I	1986	N	-1	2	9	9	2
ZAIRE	Agricultural Sector Studies	660-0070	1977	5.5	I	1985	N	-2	1	9	9	9
ZAIRE	Area Nutrition Improvement	660-0079	1982	4.3	I	1985	Y	-3	-2	1	9	9
ZAIRE	Agricultural Marketing Development	660-0098	1984	8.0	I	1986	N	-1	9	9	9	9
ZAIRE	North Shaba Rural Development	660-0059	1976	18.6	I	1986	Y	-1	2	9	9	3

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Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRC Impact Overall
ZAIRE	Agricultural Marketing Development	MULT	1979	5.0	I	1986	N	-3	-2	9	9	9
ZAMBIA	Agricultural Development Research and Extension (ZAMAPE)	611-0201	1980	12.5	I	1985	N	-1	3	9	9	9
SECTOR: EHR BOTSWANA	Workforce and Skills Training (BWAST)	633-0231	1982	14.6	I	1985	N	-3	2	9	9	9
BOTSWANA	Primary Education Improvement Project (PEIP) (2)	633-0222	1981	7.3	I	1985	Y	-1	4	9	9	9
BOTSWANA	Primary Education Improvement Project	633-0222	1981	7.3	F	1985	Y	-1	4	1	9	9
MULT	Sahel Manpower Dev Project (SMDP)	625-0960	1983	12.8	I	1985	Y	-2	9	2	1	1
ZAMBIA	Agricultural Training, Planning and Institutional Development	611-0075	1980	6.8	I	1986	N	-2	2	9	9	9
SECTOR: HEA CONGO	Combatting Communicable Childhood Diseases	698-0421-79	1985	0.6	I	1986	N	-2	-3	9	9	9
KENYA	Family Planning Management and Research Project	615-0216	1983	25.1	I	1985	N	-2	9	3	1	2
LIBERIA	Combatting Childhood Communicable Disease: Liberia	698-0421	-	0.7	I	1986	Y	-3	-3	9	9	1
MALAWI	Malawi Self-Help Rural Water Supply	612-0207	1980	6.0	I	1984	Y	-1	3	3	4	2
MULT	Center for Communicable Childhood Diseases	698-0421	1985	82.0	I	1986	N	-3	9	9	9	9

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Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRE Impact Overall
NIGER	Rural Health Improvement	683-0208	1978	2.0	I	1985	N	-2	3	9	9	9
SWAZILAND	Health Planning and Management.	645-0215	1981	1.1	F	1986	Y	-2	-2	2	3	2
ZAIRE	Combatting Childhood Communicable Diseases (CCD)	698-0421-60	1982	0.0	I	1985	N	-3	-4	-2	9	9
* SECTOR: MLT ZAIRE	PVO Economic Support	660-0097	1983	5.0	I	1985	N	-2	-4	9	9	9
* SECTOR: POP KENYA	Family Planning II	615-0193	1982	2.4	I	1985	Y	-1	2	9	9	9
SUDAN	Rural Health Support	650-0030	1980	18.1	I	1985	Y	-4	-3	-1	9	-2
ZAIRE	Family Planning Services	660-0094	1982	3.9	I	1985	N	-3	-3	1	9	9
* SECTOR: SDA BOTSWANA	Botswana-Zambia Road Paving	633-0072	1977	0.5	E	1985	Y	-4	3	9	9	9
BOTSWANA	Gaborone West Housing and Facilities	633-0238	1983	0.7	I	1985	N	-3	-3	9	9	1
BOTSWANA	Transport Sector I	633-0073	1979	6.0	E	-	Y	-2	-2	9	9	9
KENYA	Structural Adjustment Program	615-0213	1983	76.0	I	1986	Y	-3	-4	9	9	-4
LIBERIA	Increased Revenue for Development	669-0132	1978	8.7	I	1985	Y	-3	-2	9	9	9
LIBERIA	Small and Medium Scale Enterprise Development and Support	669-0201	1984	2.9	I	1986	N	-4	-3	9	9	2
MULT	Environmental Training for Africans	698-0427	1985	7.3	I	1986	N	9	1	9	2	9
MULT	Sahel Data Network and Management II (AGRYMET)	625-0940	1982	6.2	I	1985	Y	-3	-3	9	9	9

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Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	FRE Impact Overall
NIGER	Niger Basin Development and Planning	625-0915	1976	1.9	F	1985	Y	-3	-2	9	2	9
RWANDA	Private Enterprise Development	696-0121	1984	4.1	I	1986	N	-1	1	9	9	2
SOUTH AFRICA	AALC—African American Labor Center	690-0223	1983	1.9	F	1985	N	-2	2	9	9	9
** BUREAU: ANE												
* SECTOR: ARD												
BANGLADESH	Agro-Climatic Environmental Monitoring Project	388-0046	1981	7.4	I	1986	Y	-3	-2	9	9	9
EGYPT	Aquaculture Development	263-0064	1978	23.4	I	1985	Y	-3	2	1	9	1
EGYPT	Water Use and Management	263-0017	1977	13.0	F	1985	Y	-2	-2	9	9	2
EGYPT	Small Farmer Production	263-0079	1979	49.0	F	1985	Y	8	3	1	9	1
EGYPT	Irrigation Management Systems	263-0132	1981	93.0	I	1985	Y	-2	-2	9	9	9
EGYPT	Irrigation Management Systems: Structural Replacement Component	263-0132	1981	73.0	I	1985	Y	-2	2	9	9	9
EGYPT	Data Collection and Analysis	263-0142	1980	4.9	I	1985	Y	-2	2	9	9	9
EGYPT	Agricultural Management Development	263-0116	1980	4.1	F	1986	N	-2	2	9	9	9
INDIA	Maharashtra Social Forestry	386-0478	1982	30.0	I	1986	Y	9	2	1	2	1
INDONESIA	Sumatra Agricultural Research	497-0263	1977	9.5	F	1986	N	-1	-1	9	9	9
INDONESIA	Sederhana Irrigation II	497-0252	1978	10.7	F	1985	N	9	9	9	9	9
INDONESIA	Citanduy River Basin Development II	497-0281	1980	18.9	I	1985	N	-3	-2	9	9	9

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Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRC Impact Overall
JORDAN	Water Management Technology	278-0192	1977	1.3	F	1985	Y	-3	1	9	9	9
JORDAN	Jordan Valley Farmers Association (JVFA)	278-0186	1977	1.6	F	1985	Y	-3	-2	9	9	9
MALAYSIA	ASEAN Plant Quarantine Centre and Training Institute (PLANTI)	498-0258-2	1980	2.8	F	1985	N	-1	1	9	9	9
MOROCCO	Range Management Improvement	608-0145	1980	5.1	F	1986	N	-2	2	9	2	1
MOROCCO	Morocco Renewable Energy Development	608-0159	1980	7.0	I	1986	N	-3	3	9	9	9
MULT	Arid Lands Agriculture Research	298-0170	1982	6.0	I	1984	Y	-1	2	9	9	9
MULT	ASEAN Agricultural Development Planning Centre	498-0258-11	1980	3.0	F	1985	N	-2	1	9	9	9
MULT	Regional Cooperative Marine Technology for the Middle East	298-0190	1980	0.0	I	1985	Y	-2	2	9	2	9
MULT	ANERA West Bank/Gaza Development	298-0159	1975	0.0	I	1985	Y	-1	2	1	2	3
NEPAL	Strengthening Institutional Capacity in Food & Agricultural Sector	NP	1982	0.0	I	1985	N	-3	-3	1	9	9
NEPAL	Resource Conservation and Utilization	367-0132	1980	25.6	F	1985	Y	-3	1	9	2	9
OMAN	Fisheries Development	272-0101	1981	6.6	I	1985	Y	-3	-3	1	3	3
PAKISTAN	Irrigation Systems Management	391-0467	1983	52.9	I	1985	Y	-3	-2	-1	2	1
PAKISTAN	Tribal Areas Development	391-0471	1982	24.0	I	1986	Y	-4	-4	9	9	1

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PHILIPPINES	Rural Energy Development	492-0375	1982	6.0	I	1985	N	-4	-3	9	-2	9
PORTUGAL	Agricultural Production Program	150-0023	1980	10.0	I	1985	Y	-2	2	9	9	-3
SRI LANKA	Reforestation and Watershed Management	383-0055	1980	8.3	I	1985	N	-2	-2	2	3	-2
SRI LANKA	Mahaweli Environment Protection	383-0075	1982	5.0	I	1986	Y	-4	-2	9	-2	9
SRI LANKA	Water Management I	383-0057	1979	13.6	F	1986	Y	-1	3	1	-2	8
SRI LANKA	Rice Research Project	383-0040	1977	3.8	E	1986	N	2	-2	9	9	9
THAILAND	Khon Kaen Univ Research Project: Rural Development Subproject	493-0332	1983	0.0	I	1985	N	-1	2	9	9	9
THAILAND	Northeast Small Scale Irrigation (NESSI): A Management Review	493-0312	1980	8.6	I	1985	Y	-3	2	9	1	1
THAILAND	Land Settlements Project	493-0289	1979	4.2	F	1985	N	-1	2	9	9	9
THAILAND	Northeast Rainfed Agricultural Development (NERAD)	493-0308	1981	10.0	I	1985	N	-3	-2	9	9	9
THAILAND	Khon Kaen University Research Dev. Project: FSR Subproject	493-0322	1983	0.0	I	1986	Y	-2	-2	1	2	9
THAILAND	Private Sector Development	493-0329	1984	3.5	I	1986	N	-3	-1	9	9	2
YEMEN	Agricultural Development Support	279-0052	1982	6.2	I	1984	Y	-3	-2	-2	1	1
SECTOR: EHR EGYPT	Vocational Training for Productivity	263-0090-02	1981	0.0	F	1985	N	-2	-2	3	9	9
EGYPT	Industrial Production Project	263-0101	1982	1.6	F	1985	Y	9	9	9	9	9

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EGYPT	Basic Education	263-0139	1981	105.0	I	1985	Y	-1	9	3	9	9
EGYPT	Education Program	263-0139	1981	85.0	I	1986	N	-1	2	3	9	9
INDIA	Development and Management Training	386-0487	1982	6.2	I	1985	Y	-3	-2	-2	9	1
INDONESIA	Provincial Small Business Mgt Training in Indonesia: The IPFM/PPK Prog	NP	-	0.0	I	1986	N	-2	-2	9	9	1
INDONESIA	In-Country Management Development	497-0317	1982	3.1	I	1985	N	9	2	9	9	9
JORDAN	Vocational Training	278-0238	1979	2.1	I	1985	Y	-3	1	4	9	1
JORDAN	Health Education	278-0245	1980	1.0	F	1985	Y	-3	-3	2	1	2
JORDAN	School Construction II	278-0232	1980	6.7	F	1985	Y	-2	9	2	9	9
MOROCCO	Sector Support Training Project	608-0178	1983	8.4	I	1985	Y	-2	8	2	9	1
PAKISTAN	Development Support Training	391-0474	1983	18.5	I	1986	Y	-3	-3	-3	1	-2
THAILAND	Rural Area Education	493-0297	1980	1.6	F	1985	N	-3	-2	2	9	1
YEMEN ARAB REPUBLIC	Ag. Development Support Program: Secondary Ag. Institute Subproject	279-0052-2	1979	12.4	I	1986	N	9	9	9	9	9
* EGYPT	SECTOR: HEA Strengthening Rural Health Delivery	263-0015	1976	13.9	I	1985	Y	-1	-2	3	9	9
EGYPT	RI Institute of Nursing, Assiut University	263-0042	1981	0.7	I	1985	N	-1	2	2	9	9
INDONESIA	Timor Malaria Control	497-0326	1980	3.6	I	1985	N	-3	-1	3	9	9
MOROCCO	Health Management Improvement	608-0151	1981	2.7	I	1985	Y	-2	-3	9	9	9

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PAKISTAN	Malaria Control II	391-0472	1982	41.0	I	1986	Y	-3	-3	1	1	1
PAKISTAN	Primary Health Care	391-0475	1982	20.0	I	1986	Y	-3	-3	2	2	1
PHILIPPINES	Primary Health Care Financing (PHCFP)	492-0371	1983	17.0	I	1986	N	-4	-3	9	9	9
SRI LANKA	Malaria Control (1985)	383-0043	1978	28.5	I	1986	N	-3	-3	-1	-2	1
YEMEN	Taiz Water and Sewerage Construction	279-0039	1977	11.2	E	1985	Y	-4	-2	8	2	9
* SECTOR: MLT SRI LANKA	PVO Cofinancing	383-0060	1979	6.6	I	1986	Y	-2	2	3	2	2
* SECTOR: POP INDONESIA	Family Planning Development and Services	MULT	1978	28.0	E	1985	Y	-1	3	5	0	2
MOPOOOD	Population/Family Planning Support II	608-0155	1978	9.2	F	1985	Y	-1	4	3	9	9
MULT	Near East Regional Population Project	398-0048	1986	1.5	I	1985	N	-1	1	2	9	1
NFPAL	Population Policy Development Project	936-3024	1979	0.0	F	1985	N	-1	-2	9	9	9
PAKISTAN	Population Welfare Planning	391-0469	1982	81.5	I	1985	N	-3	-3	-2	0	3
* SECTOR: SDA EGYPT	Industrial Productivity Improvement	263-0090-01	1980	39.0	I	1985	N	-3	-2	9	9	1
EGYPT	Water and Wastewater Sector Assessment	MULT	-	0.0	I	1985	N	-3	-3	9	9	1
EGYPT	Applied Science and Technology: Scientific and Tech Info Component	263-0016	1977	23.0	I	1985	Y	-3	-3	9	9	9

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EGYPT	Private Sector Feasibility Studies	263-0112	1979	8.0	I	1985	N	-4	-4	9	9	-4
EGYPT	Industrial Technology Applications	MULT	-	0.0	I	1985	N	-4	-4	9	9	-3
EGYPT	Neighborhood Urban Services (NUS)	263-K-605-5	1981	0.0	I	1985	N	-1	-3	1	3	2
EGYPT	Development Planning Studies	263-0061	1978	22.8	I	1985	Y	-1	3	9	2	9
EGYPT	Construction Contracts Assessment	MULT	-	0.0	E	1985	Y	-3	8	8	8	8
INDIA	Technologies for the Rural Poor	386-0465	1978	2.0	F	1985	N	-3	-3	-3	9	9
JORDAN	Water Systems and Services Management	278-0259	1983	21.0	I	1985	Y	9	2	9	9	2
JORDAN	Income Tax Assistance	278-0247	1981	2.0	I	1985	Y	-2	2	9	9	2
JORDAN	Potash Plant, Record D	MULT	1978	38.0	E	1986	Y	-1	-1	9	9	9
PHILIPPINES	Small Farm Machinery Industrial Extension	492-0265	-	0.0	I	1985	N	-1	-2	9	1	2
POLAND	Poland Relief Program	181-0001	1982	5.0	E	1985	Y	-1	9	9	9	9
TUNISIA	Technology Transfer	MULT	1978	8.5	I	1986	Y	-1	2	-3	1	1
** BUREAU: FVA												
* SECTOR: SDA												
MULT												
	African Emergency Food Assistance	NP	1985	1.3	E	1986	Y	-2	8	8	9	-2
** BUREAU: LAC												
* SECTOR: ARD												
BELIZE												
	Rural Access Roads and Bridges	505-0007	1983	6.2	I	1985	Y	-2	-2	9	9	1

List of Evaluation Reports by Selected Characteristics and Overall
Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRE Impact Overall
BFLIZE	Livestock Development	505-0006	1983	3.2	I	1986	Y	-2	1	9	9	9
BOLIVIA	Disaster Recovery Project	511-0581	1983	5.7	I	1985	N	9	2	4	3	9
BOLIVIA	New Lands Settlement Regional Development - San Juliano	NP	1975	11.2	E	1985	Y	-2	-3	-3	-3	-3
DOMINICA	The Dominica Banana Company	538-0083	1982	2.0	I	1985	N	-1	-2	9	9	3
DOMINICAN REPUBLIC	Natural Resources Management	517-0126	1981	11.0	I	1984	N	-2	2	1	2	9
DOMINICAN REPUBLIC	Rural Savings Mobilization	517-0179	1983	1.0	F	1985	N	-1	-1	9	9	9
DOMINICAN REPUBLIC	Natural Resources Management	517-0126	1981	11.0	I	1986	Y	-3	-3	9	1	-3
DOMINICAN REPUBLIC	Rural Development Management	517-0125	1981	1.6	I	1985	N	-1	-2	9	9	1
DOMINICAN REPUBLIC	Small Farmer Swine Repopulation	517-0155	1981	0.4	F	1985	N	9	1	9	9	9
EL SALVADOR	Agrarian Reform Credit	519-0263	1980	76.0	I	1985	Y	-2	3	9	9	2
GUATEMALA	Women in Development	520-0284	1981	0.3	I	1986	Y	-2	2	5	9	2
GUATEMALA	Small Farmer Diversification Systems	520-0255	1981	9.2	I	1985	Y	-3	-2	9	9	9
HAITI	Agricultural Development Support II (ADS II)	521-0092	1978	3.3	I	1986	Y	-3	-3	9	2	9
HAITI	Fruit Tree Crops Improvement Project	521-0169-4	1983	0.6	F	1985	N	-2	-2	9	9	9
HAITI	Agroforestry Outreach	521-0122	1981	11.4	F	1986	N	-1	2	-1	3	1
HONDURAS	Small Farmer Titling Project	522-0173	1982	12.5	I	1986	Y	-1	2	9	9	9
HONDURAS	Small Farmer Coffee Improvement	522-0176	1981	14.0	I	1986	Y	-1	2	9	9	9

List of Evaluation Reports by Selected Characteristics and Overall
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Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PSE Impact Overall
HONDURAS	Evaluation of Agriculture Cooperatives	NP	1982	0.0	F	1985	N	-1	-2	9	9	1
HONDURAS	Natural Resources Management	522-0168	1980	14.0	I	1985	Y	-1	4	4	3	9
JAMAICA	Fish Production System Development	532-0059	1978	1.0	F	1985	8	-2	-2	9	-2	1
JAMAICA	Small Farmer Production and Marketing	532-0097-1	1983	0.6	F	1985	N	-2	1	9	9	9
MULT	Regional Tropical Watershed Management (2 parts)	596-0106	1983	4.0	I	1986	N	-3	-3	9	2	9
MULT	Caribbean Agricultural Extension II	538-0068	1982	7.2	E	1985	N	-1	3	2	9	-2
MULT	Latin American Agribusiness Development Corporation	596-0097	1981	0.0	F	1986	N	9	2	9	9	1
MULT	Fuelwood and Alternative Energy Sources (2 parts)	596-0089	1979	8.8	I	1985	N	-1	2	9	4	9
MULT	Small Farm Production Systems	596-0083	1979	8.2	F	1985	N	-2	-2	9	9	9
MULT	Agricultural Secretariat	596-0094	1981	0.9	F	1986	N	-4	-2	9	9	9
PANAMA	Managed Fish Production	525-0216	1981	1.1	8	1985	N	9	9	9	9	9
PERU	Integrated Regional Development	527-0178	1979	16.6	F	1985	N	-1	2	9	9	9
PERU	Improved Water and Land Use in the Sierra (Plan MERIS)	527-0156	1976	11.0	F	1985	Y	-2	-3	9	-2	9
PERU	Private Sector Agricultural Investment Promotion (PRIDA)	527-0265	1983	10.0	I	1985	Y	-3	1	9	9	2
PERU	Agricultural Planning and Institutional Development	527-0238	1983	15.5	I	1986	N	-1	1	9	9	-1

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Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PBE Impact Overall
PERU	Soil Conservation	527-0220	1980	1.6	F	1985	N	-2	1	9	9	9
* SECTOR: EPR												
BOLIVIA	Rural Education II (1986)	511-0482	1977	12.1	I	1985	N	-4	-3	9	9	9
BOLIVIA	Rural Education II (1985)	511-0482	-	0.0	F	1984	N	-4	-4	9	9	9
DOMINICAN REPUBLIC	Human Resources Development	517-0127	1981	5.4	I	1985	Y	-3	2	9	9	9
EL SALVADOR	Rural Primary School Expansion	519-0190	1979	4.4	F	1985	Y	-1	2	9	9	2
GUATEMALA	Integrated Non-Formal Education	520-0281	1982	3.9	I	1985	Y	-3	-2	9	9	9
HONDURAS	Development Administration Record R	522-0174	1982	2.5	I	1985		-2	-3	9	9	9
HONDURAS	Rural Primary Education (1986)	522-0167	1980	19.7	F	1985	N	-2	1	9	9	9
MULT	Caribbean Regional Dev Training: CARICOM Component	538-0014	1979	0.0	F	1984		-2	4	3	3	3
MULT	Caribbean Education Dev UWI/USAID Primary Curriculum Subproject	538-0029	1979	3.8	F	1985	Y	-1	3	9	9	9
* SECTOR: HEA												
EL SALVADOR	Health Systems Vitalization (VISISA)	519-0291	1983	35.6	I	1985	N	-3	-2	9	9	9
MULT	Caribbean Epidemiological Surveillance and Training	538-0027	1979	2.6	F	1985	Y	-1	4	9	9	9
PERU	Rural Water and Environmental Sanitation	527-0221	1980	11.0	I	1985	N	-4	-2	9	9	9
* SECTOR: POP												
GUATEMALA	Integrated Family Planning Services	520-0263	1980	2.4	F	1985	Y	-1	2	2	9	9

List of Evaluation Reports by Selected Characteristics and Overall
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<u>Country</u>	<u>Evaluation Title</u>	<u>Project Number</u>	<u>Fiscal Year Began</u>	<u>Amount</u>	<u>Evaluation Type</u>	<u>Fiscal Year Completed</u>	<u>Lessons Learned</u>	<u>Implementation Constraints Overall</u>	<u>Sustainability Overall</u>	<u>WID Overall</u>	<u>Environmental Impact Overall</u>	<u>PRE Impact Overall</u>
SECTOR: SDA												
COSTA RICA	Energy Policy Development (1986)	515-0175	1981	1.0	F	1986	Y	-2	2	9	9	9
COSTA RICA	Policy Planning and Administrative Improvement	575-0190	1983	8.9	I	1985	N	-2	-1	9	9	9
DOMINICAN REPUBLIC	Energy Conservation & Resource Development: Mini Hydro Component	517-0144	1982	17.5	I	1985	Y	-1	1	9	3	9
DOMINICAN REPUBLIC	Energy Policy Development	517-0143	1980	0.8	F	1985	Y	-2	-3	9	1	1
DOMINICAN REPUBLIC	Energy Conservation and Res. Development - Energy Planning Component	517-0144	1982	0.0	I	1986	Y	-2	2	9	9	1
DOMINICAN REPUBLIC	Energy Conservation and Res. Development - Industrial Conservation Co	517-0144	1982	0.0	I	1985	Y	-3	-3	9	9	1
Ecuador	Revenue Generation for Development (MDF Component)	578-0036-1	1983	0.6	F	1985	Y	-1	2	9	9	9
GUATEMALA	Rural Electrification II (per II)	520-0248	1979	10.6	I	1985	Y	-4	-2	9	9	9
JAMAICA	Board of Revenue Assistance	532-0095	1983	7.0	I	1985	N	-1	2	9	9	9
MULT	Caribbean Marketing Assistance	538-0102	1983	0.4	I	1985	Y	-4	-4	1	9	2
PANAMA	Alternative Energy Sources	525-0207	1979	0.8	F	1985	Y	-3	-2	-3	3	-1
PERU	Urban Small Enterprise Development	527-0241	1982	10.0	I	1985	N	-1	1	9	9	2

List of Evaluation Reports by Selected Characteristics and Overall
Ratings on Five Principal Topics by Bureau, by Sector

Country	Evaluation Title	Project Number	Fiscal Year Began	Amount	Evaluation Type	Fiscal Year Completed	Lessons Learned	Implementation Constraints Overall	Sustainability Overall	WID Overall	Environmental Impact Overall	PRC Impact Overall
** BUREAU: PRF												
* SECTOR: ARD MULT	Women's World Banking	940-0002	1970	0.0	I	1985	N	-1	4	3	9	4
MULT	Feasibility Studies Cost Sharing Program	940-0002.26	1982	1.4	I	1985	N	-4	-3	9	9	-4
MULT	Agricultural Cooperative Development International	938-0225	1983	2.1	F	1986	Y	-1	-3	2	1	3
* SECTOR: EHR THAILAND	Institute for Management Education for Thailand, Inc.	940-0072	1982	1.0	F	1985	Y	-1	1	9	9	2
* SECTOR: SDA KENYA	Kenya Commercial Finance Co Ltd	NP	1983	0.0	I	1985	Y	-1	3	2	9	4
THAILAND	Siam Commercial Bank Ltd	940-0002-1	1982	2.2	I	1985	Y	-1	4	4	1	4
** BUREAU: S&T												
* SECTOR: ARD BOLIVIA	Water Supply and Small Scale Irrigation	511-0581	1983	1.8	F	1985	N	-2	-3	9	-2	9
* SECTOR: POP PHILIPPINES	Population Planning III	936-3024	1984	0.0	F	1986	N	-2	3	1	1	9

ANNEX 3

EVALUATION SYNTHESIS RATING FORM (revised 10/29)

RATER _____ DATE _____ *****
 RECORD NO. _____ * 8 = Not Applicable *
 * 9 = Not Observed *

 PROJECT NAME. _____ BUREAU. _____
 PROJECT NO. _____ SECTOR. _____
 COUNTRY. _____

MATRIX A

LOP: BEGIN FY _____ PACD FY _____
 AMT. OBLIGATED _____ (Use AID/W Printout as Source)
 DECISIONS ON PROJECT FUTURE NO CHANGE CHANGE DISCONTINUE 8 9
 PER PES CHANGE DESIGN IMPLEMENTATION
 EVALUATOR'S RECOMMENDATION NO CHANGE CHANGE DISCONTINUE 8 9
 ON PROJECT FUTURE CHANGE DESIGN IMPLEMENTATION

MATRIX B

TYPE OF EVALUATION I F E
 (INTERIM/FINAL/EX POST)
 EVALUATION TEAM COMPOSITION: _____
 CONTRACTOR = CO; AID = AI; MIXED = NI; HOST/AID = HA
 HOST COUNTRY = HO; HOST/CONT. = HC; HOST MIXED = HM
 INTERNAL VS. EXTERNAL I E
 PES/ES Y N 8 9
 EXECUTIVE SUMMARY Y N 8 9
 TABLE OF CONTENTS Y N 8 9
 EVALUATION SOW Y N 8 9
 EVALUATION METHODOLOGY Y N 8 9
 CONCLUSIONS Y N 8 9
 RECOMMENDATIONS Y N 8 9
 LESSONS LEARNED Y N 8 9
 DESIGN DOCUMENTS (LOGFRAME) Y N 8 9
 FISCAL YEAR COMPLETED 84 85 86 9

PROJECT NO _____ NAME _____

MATRIX C

1. IMPLEMENTATION CONSTRAINTS-- OVERALL RATING	-5 -4 -3 -2 -1										8 9
A. TIMING OF PROCUREMENT	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
B. TIMING IN CONTRACTING TEAM/TASKS	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
C. CONTRACTOR-AID-B/G RELATIONS	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
D. AID-B/G UNDERSTANDING OF PROJECT PURPOSE	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
E. TIMING AND ADEQUACY OF B/G STAFFING OR BUDGETING FOR PROJECT	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
F. AID FLEXIBILITY/INFLEXIBILITY IN MANAGEMENT OF PROJECT	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
G. ADEQUACY OF MONITORING	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
H. QUALITY OF PROJECT DESIGN	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
I. DID EVALUATION INDICATE NUMBER OF MONTHS BEHIND SCHEDULE? Y N											
1. MONTHS BEHIND SCHEDULE: _____											8 9
J. ADEQUACY OF PLAN FOR LOP	-5 -4 -3 -2 -1	+1 +2 +3 +4 +5									8 9
K. LOP APPROPRIATE Y N											8 9
L. DID EVALUATION INDICATE NUMBER OF YEARS RECOMMENDED BEYOND PACD? Y N											
1. ADDITIONAL YEARS RECOMMENDED: _____											8 9
M. PREMATURELY TERMINATED Y N											8 9

PROJECT NO _____

NAME _____

2. SUSTAINABILITY-- OVERALL RATING	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	9
A. HOST COUNTRY BENEFICIARIES (NOTE: CHOOSE 3 and RATE AS FOLLOWS:	<input type="checkbox"/> Professionals <input type="checkbox"/> Paraprofessionals <input type="checkbox"/> Wage Laborers <input type="checkbox"/> Unemployed <input type="checkbox"/> Entrepreneurs <input type="checkbox"/> Managers <input type="checkbox"/> Consumers <input type="checkbox"/> Farmers/Fishermen <input type="checkbox"/> Women	<input type="checkbox"/> Children <input type="checkbox"/> Students <input type="checkbox"/> Society <input type="checkbox"/> at Large
1 - MOST IMPORTANT BENEFICIARY		
2 - 2nd MOST IMPORTANT		
3 - 3rd MOST IMPORTANT		
B. STRENGTH OF PROJECT CONSTITUENCY	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
C. HOST COUNTRY POLICIES	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
D. ORGANIZATIONAL/INSTITUTIONAL CAPACITIES FOR CONTINUATION OF PROJECT BENEFITS	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
E. COOPERATING ORGANIZATION'S ABILITY TO RESPOND TO CHANGING CONDITIONS	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
F. FINANCIAL PROVISION FOR O&M AND RECURRENT/CAPITAL COST RECOVERY	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
G. ACCEPTANCE OF TECHNOLOGY	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9
H. DEVELOPMENT OF MANAGEMENT CAPACITY	-5 -4 -3 -2 -1 +1 +2 +3 +4 +5	8 9

PROJECT NO _____ NAME _____

3.	IMPACT ON WOMEN IN DEVELOPMENT-- OVERALL RATING	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9
A.	WID WAS A MAJOR PURPOSE OF PROJECT						Y						N
	IF YES, RATE FOLLOWING; IF NOT, USE "8" FOR QUESTIONS A1, A2, A3; FOR QUESTION A4, ANSWER YES OR NO												
	1. PLANNED BENEFITS ACHIEVED?	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9
	2. PROJECT IMPLEMENTATION REDIRECTED?						Y						N
	3. PROJECT STRATEGY CHANGED?						Y						N
	4. IF NO, SHOULD WID HAVE BEEN A MAJOR CONCERN?						Y						N
B.	DIVISION OF PROJECT RESPONSIBILITIES BY GENDER IN PROJECT DESIGN						Y						N
C.	GENDER-SPECIFICS INTRODUCED DURING IMPLEMENTATION						Y						N
D.	KNOWLEDGE/LACK OF KNOWLEDGE OF THE INSTITUTIONAL SETTING	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9
E.	WOMEN AS PROJECT PARTICIPANTS	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9
F.	WOMEN AS BENEFICIARIES	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9
G.	CHANGE IN WOMEN'S STATUS AS A RESULT OF PROJECT	-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9

PROJECT NO	NAME																									
4.	ENVIRONMENTAL IMPACT-- OVERALL RATING										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				
A.	ENVIRONMENT WAS A MAJOR PURPOSE OF PROJECT															Y							N			
	IF YES, RATE FOLLOWING; IF NO, USE "8":																									
1.	PLANNED BENEFITS ACHIEVED?										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				
2.	PROJECT IMPLEMENTATION REDIRECTED?															Y							N	8	9	
3.	PROJECT STRATEGY CHANGED?															Y								N	8	9
B.	UNPLANNED IMPACTS										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				
C.	HOST COUNTRY ENVIRONMENTAL POLICY										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				
D.	HOST COUNTRY SUPPORT OF INSTITUTIONS FOR ENVIRONMENTAL MONITORING										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				
E.	INVOLVEMENT OF HOST-COUNTRY EXPERTISE IN ENVIRONMENTAL COMPONENT OF PROJECT										-5	-4	-3	-2	-1	+1	+2	+3	+4	+5	8	9				

PROJECT NO _____ NAME _____

5. IMPACT ON PRIVATE SECTOR-- OVERALL RATING -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- A. PRIVATE ENTERPRISE DEVELOPMENT WAS A MAJOR PURPOSE OF PROJECT Y N
- IF YES, RATE FOLLOWING;
IF NO, USE "8" FOR A1, A2, A3;
FOR QUESTION A4, ANSWER YES OR NO:
1. PLANNED BENEFITS ACHIEVED? -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
2. PROJECT IMPLEMENTATION REDIRECTED? Y N 8 9
3. PROJECT STRATEGY CHANGED? Y N 8 9
4. IF NO, SHOULD PRE HAVE BEEN A CONCERN Y N
- B. UNPLANNED IMPACTS -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- C. NUMBER OF ENTREPRENEURS -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- D. PRIVATE SECTOR EMPLOYMENT -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- E. VALUE ADDED BY PRIVATE SECTOR -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- F. INCOMES OF POOR WAGE EARNERS -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- G. FOREIGN EXCHANGE EARNINGS OR SAVINGS -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- H. HOST COUNTRY POLICY RE: P/E -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9
- I. INVOLVEMENT OF HOST-COUNTRY EXPERTISE IN P/E COMPONENT OF PROJECT -5 -4 -3 -2 -1 +1 +2 +3 +4 +5 8 9

Guidelines for Using the Evaluation Synthesis Rating Form

Project Name:

- o Use project name unless the evaluation is for more than one project. In that case, use title of the Evaluation Report.

Project No:

- o Use project no. for single project evaluation.
- o Use "MLT" for multiple projects covered by the evaluation.
- o Use "NP" for non-project evaluations including PL 480 activities.

Bureau:

Attribute to the Bureau which FUNDED the project.

Sector:

- o Use the Sector shown in the CP except for project funded under ESF and SDF where we should attribute the project to the sector in which it would fall if it were DA funded.
- o In case the evaluation covers projects in more than one Sector Unit, assign to multiple sector and mark as "MLT".

Country:

- o All single project evaluations in one country will be so marked.
- o If the evaluation covers more than one country in the same region, mark "MLT" in the country space.

Matrix A:

* LOP

- o Show beginning year indicated in ER or PES/ES or determine from CP (i.e. show first year of obligation).
- o Leave PACD blank to be entered from Evaluation Plans located in CDIE.

* Amount Obligated

- o Leave blank to be completed from CDIE-furnished printout.

* Decisions re Project Future

- o Per PES/ES - Mark as shown or according to statements by USAID where included.
- o Evaluator - Mark according to ER when clear.

Matrix B:

- o For all entries ER should be clear and explicit in order to mark "Y" especially regarding logframe and lessons learned.
- o Re Eval Team Composition, treat C, A and M as alternatives and, in addition, circle H wherever host country personnel actively participated in the evaluation in any capacity.

Guidelines (cont'd)

- o Re FY Completed, use the date of the Evaluation Report NOT of the Mission Review (ES or PES).

Decisions re Evaluation Synthesis Rating Form

Page Two

Matrix C:

I. Implementation Constraints

General - Mark each constraint only on the basis of explicit statements by the evaluators. Do not attempt to draw inferences from the general context, but circle "9" when no clear statement was made. Indicate general perceptions in notes.

- A. Timing of Procurement - Follow general rule.
- B. Timing in Contracting - Follow general rule.
- C. Cont-AID-B/G Relations - Any relationship problems which constituted a significant implementation constraint should be indicated.
- D. AID-B/G Understanding - Follow general rule.
- E. Timing / Adequacy of B/G Staffing and Budgeting - Follow general rule.
- F. AID Flex/Inflex - Follow general rule.
- G. Adequacy of Monitoring - Follow general rule, but CDIE specifically requested that we use to show if AID allows problems which should have been detected by the monitoring process to persist and become known only as a result of the evaluation.
- H. Quality of Proj. Design - Follow general rule.
- I. Months Behind Schedule - Follow general rule.
- J. Adeq. of Plan for LOP - Follow general rule, but emphasize the feasibility of the projects's plan given the LOP.
- K. LOP Appropriate - Follow general rule.
- L. Add. Years Rec - Follow general rule, but enter "9" when appropriate.
- M. Prem. Terminated - Follow general rule.

Comment - It may be useful to make a note re evaluator's judgement on degree to which project is achieving its purpose either under "constraints" or "sustainability" in order to facilitate analysis.

II. Sustainability

- A. HC Beneficiaries - Mark according to evaluators indications of who the project was intended to benefit.
- B. Strength of Proj Constituency - rely on the evaluator's statements, but do not insist on finding an explicit

Guidelines (cont'd)

statement pointed at this factor in order to provide a significance rating.

- C. H.C. Policies - Follow general rule.
- D. O/I Capacity - Follow general rule.

Decisions re Evaluation Synthesis Rating Form
Page Three

- E. Cooper. Orgs to changing conditions - Follow general rule.
- F. Financial provision for O&M - Follow general rule.
- G. Acceptance of Tech. - Follow general rule.
- H. Dev. of Mgt. Capacity - Follow general rule.

III. Impact of WID

General - Look for explicit evidence of conclusions by evaluators in order to rate significance for all points.

Add - A 4. If no, should WID have been a major concern? Y / N

IV. Environmental Impact

General - Follow general rule of obtaining explicit evidence. Use B. Unplanned Impact to report on environmental considerations of significance where environment was not an (explicitly) major concern of the project.

V. Impact on Private Sector

General - Follow the general rule of reporting what this evaluator makes explicit except with respect to the "if no" question where the reviewer can inject some of his/her own judgement based on the ER's general indications.

ANNEX 4

Definition of Topics and Sub-topics for Significance Ratings Keyed to Matrix C Evaluation Synthesis Rating Form

1. Implementation Constraints (Overall)--a summary numerical indicator of the significance of factors which were seen by the evaluators to be inhibiting progress in the delivery of outputs and achievement of stated goal and purpose of the project during the specific period covered by the Evaluation Report (ER). (By definition a negative scale only was covered).

A. Timing of procurement--significance rating of the degree to which the timeliness of procurement fostered (+) or inhibited (-) output and/or purpose achievement (covered inputs, supplies, commodities, equipment, spares and replacements, etc.).

B. Timing of contracting team or technical assistance (TA)--significance rating of the extent to which the scheduling and/or actual arrival of the contracting team or TA strengthened (+) or weakened (-) project progress or performance.

C. Contractor-AID-B/G relations--significance rating of the degree to which the relationships within and/or among all key parties engaged in the project as a whole improved (+) or inhibited (-) project progress or performance.

D. AID-B/G understanding of project purpose--a significance rating of the degree to which the respective and/or shared understanding(s) of the purpose of the project supported or inhibited implementation.

E. Timing and adequacy of B/G staffing or budgeting for project--a significance rating of the degree to which the project was aided or hindered by the availability of funds and staff, including staff quality.

F. AID flexibility/inflexibility in management of project--a rating of the extent to which AID was sensitive and responsive to developments in ways which facilitated progress in project implementation.

G. Adequacy of monitoring--a significance rating of the degree to which AID was or was not keeping closely

informed about project activities to facilitate implementation or recognize problems needing correction.

H. Quality of project design--a rating of the extent to which the design of the project facilitated or hindered progress in the delivery of outputs and/or achievement of project purpose.

I. Did evaluation indicate number of months behind schedule--simple yes/no answer.

1. Months behind schedule--numerical answer as specified in the ER.

J. Adequacy of plan for life of project--a significance rating of the degree to which the plan for execution of the project was realistic and consistent with achievement of project purpose within the time allowed.

K. Life of project appropriate--a simple yes/no answer indicating whether the project allowed adequate time for achievement of project purpose.

L. Did the evaluation indicate the number of years recommended beyond PACD--simple yes/no answer.

M. Prematurely terminated--simple yes/no response indicating whether the evaluation judged the project was or was about to be terminated prematurely.

2. Sustainability (Overall)--a significance rating by the reviewer reflecting the indications in the evaluation of the probability of the project being sustainable, i.e. able to continue to provide the intended stream of benefits into the future beyond the termination of external support.

A. Host country beneficiaries--Three socio-economic groups ranked in order of importance as project beneficiaries reflecting the ERs indicated (or implied) target groups. (Reviewer marked three from a pre-determined list which are not altogether mutually exclusive). Beneficiaries are understood to be persons or groups which would receive benefits as a result of successful project action (e.g. improved employment opportunities, increased incomes, increased productive capacity, new skills, etc.). In some instances they could be the same persons or groups as "participants" in whole or in part (e.g. members of farmers' associations or water users associations may be participants but also beneficiaries). In many cases beneficiaries and participants are separate and distinct.

B. Strength of project constituency--significance rating of the impact on sustainability deriving from the strength of any and all constituencies concerned with the project. Constituencies include any and all groups identified in the ER as having a capacity to influence the project (positively or negatively). These could (and ordinarily would) include participants and beneficiaries but might also include others not involved in or benefiting in any direct way from the project but who have an interest in its activities, redirection, or success and seek to influence its outcome.

C. Host country policies--significance rating of the impact on sustainability of the project by the totality of host country policies impacting the project.

D. Organizational/institutional capacities for continuation of project benefits--significance rating of capacity of organizations and/or institutions involved in the project to continue providing a stream of benefits beyond the end of the period of external support. The "capacities" include a broad range of institutional factors (notably: leadership; management; human resources; funding; marketing; backward linkages for the supply of ideas, information, technology, trained staff, etc.; collateral linkages with bodies performing related functions; forward linkages to bodies utilizing outputs; etc.). This is a broad concept inclusive of several other sub-items (notably 2.F.G. and H.) separately rated for significance (and some which are not) but is not a proxy for or synonymous with overall sustainability. It is a necessary (but not by itself sufficient) basis for achieving overall sustainability. "Institutions" for this purpose are defined as bodies having a formal structure, a formal (generally legal) basis for their existence and a defined system of governance. The term "institutions" is not used in this context to include the generally accepted or traditional social structures which influence a society's modus operandi (e.g. the obligations among individuals in an extended family, etc.).

E. Cooperating organization's ability to respond to changing conditions--significance rating of the ability of organization(s) engaged in the project to respond to changed circumstances to help ensure the activity's benefits would be sustained. Where ER's provide observations explicitly citing examples of significant changes made in response to altered circumstances or show that management of the institution had achieved

such capacity, the rating reflects the degree of change reported or the confidence felt by the evaluators in a higher or lower positive rating. Where institutions were reported to have failed to make changes in response to altered circumstances or evaluators saw little or no evidence of capacity or preparedness to make such change, negative ratings reflect the degree of inflexibility reported. If no observations were provided the factor is marked "not observed" (9).

F. Financial provision for O & M and recurrent/capital cost recovery--significance rating of the probability that funds would be available to cover operations and maintenance (of the facilities needed in program) and to recover capital costs so that the benefit stream can be sustained.

G. Acceptance of technology--significance rating of the impact on sustainability of the degree of acceptance of the technology(ies) being applied in the project.

H. Development of management capacity--significance rating of progress made (or being made) in the development of management capacity needed to ensure continued delivery of the intended stream of benefits after external support is withdrawn. "Management" in this context means the systems by which: policies and objectives are determined; programs and plans are formulated; funds, personnel and other resources are secured, deployed and controlled; performance is monitored and evaluated; and relations with outside bodies are organized and governed.

3. Impact on Women in Development (Overall)--A significance rating by the reviewer reflecting the indications in the ER of the sum of all of the project's impacts on women in the development process with a (+) indicating positive impact and a (-) indicating negative.

A. WID was a major purpose of the project--a yes/no response indicating whether the ER identified WID as a major (not necessarily the major) purpose of the project. (Points 1, 2 and 3 below to be answered only if response to A was "yes.")

1. Planned benefits achieved--a significance rating of the degree to which benefits pertaining to WID were being achieved up to the time of the evaluation.

2. Project implementation redirected--yes/no response indicating whether the ER proposed that

the implementation plan of the project in relation to WID should be redirected

3. Project strategy changed--yes/no response indicating whether the ER proposed that the project strategy relating to WID should be changed.

4. If no, should WID have been a major concern--A yes/no response indicating whether the reviewer believed that a project for which WID was not a major concern should have had it as such. (This is an exception to the general rule that responses reflect what was specified in the ER or if necessary could be clearly inferred from the ER rather than being the reviewer's opinion or judgment.)

B. Division of project responsibilities by gender in project design--yes/no response indicating what the ER stated concerning the project's design regarding gender responsibilities.

C. Gender-specifics introduced during implementation--yes/no response indicating what the ER proposed or what changes had been made by others regarding gender responsibilities since the project was designed.

D. Knowledge/lack of knowledge of the institutional setting--significance rating indicating whether knowledge or a lack of knowledge (available to the designers and/or implementors of the project) about the institutional setting (including social institutions) were favorably or unfavorably affecting the impact of the project on WID.

E. Women as project participants--a significance rating of the degree to which women were participating actively in the project's operating activities as indicated by the ER.

F. Women as beneficiaries--a significance rating of the extent to which women were recipients of benefits generated by the project as indicated by the ER.

G. Change in women's status as a result of project--a significance rating of the degree to which women's status in the society had changed due to project's activities as indicated by the ER.

4. Environmental Impact (Overall)--a significance rating indicating the extent to which the project's activities up to

the time of the evaluation had impacted favorably (+) or unfavorably (-) on the environment as indicated by the ER.

A. Environment was a major purpose of the project--a yes/no response indicating whether environmental modifications were a major purpose (not necessarily the major purpose) of the project as indicated by the ER.

(Responses to sub-points 1,2, and 3 were to be given if the answer to A was positive)

1. Planned benefits achieved--a significance rating indicating the degree to which the environment-related benefits contemplated to flow from the project were being achieved.

2. Project implementation redirected--a yes/no response indicating whether or not the ER proposed that the implementation plan of the project concerning the environment should be revised.

3. Project strategy changed--a yes/no response indicating whether or not the project's strategy toward environmental modifications should be changed according to the ER.

B. Unplanned impacts--a significance rating indicating the degree to which impacts on the environment had occurred which had not been planned (positive or negative) as indicated by the ER.

C. Host country environmental policy--a significance rating indicating whether policy relating to the environment was favorably (+) or unfavorably (-) impacting the achievement of the project's environmentally-oriented outputs and/or purpose as indicated by the ER.

D. Host country support of institutions for environmental monitoring--a significance rating indicating the degree to which the host country support of institutions for environmental monitoring favorably (+) or unfavorably (-) impacted on the project.

E. Involvement of host-country expertise in the environmental component of the project--a significance rating of the degree of involvement of host country personnel in this component of the project as indicated by the ER.

5. Impact on Private Sector, Overall Rating--a composite significance rating for the impact of the project as a whole

on private sector activity reflecting the indications in the ER.

A. Private enterprise a major purpose of the project-- a simple yes/no response indicating whether PRE was a major purpose (not necessarily the major purpose) of the project.

(If the response to A. was 'yes' sub-items 1,2 and 3 were to be answered.)

1. Planned benefits achieved--a significance rating on the degree to which planned benefits with respect to PRE were achieved.

2. Project implementation redirected--a simple yes/no response indicating whether the ER proposed that the implementation plan regarding PRE should be redirected.

3. Project strategy changed--a simple yes/no response indicating whether the ER proposed that the strategy relating to PRE should be changed.

4. If no, should PRE have been a major concern--a simple yes/no response indicating the reviewer's opinion on this issue based on knowledge derived from the ER.

B. Unplanned impacts--a significance rating relating to impacts on the private sector which occurred but had not been planned.

C. Number of entrepreneurs--a significance rating regarding the number of private entrepreneurs impacted by the project.

D. Private sector employment--a significance rating regarding the number of persons employed in the private sector as a result of the project.

E. Value added by private sector--a significance rating on the increase in value added in the private sector as a result of the project.

F. Incomes of poor wage earners--a significance rating on the increase in incomes of poor wage earners through employment in the private sector as a result of the project.

G. Foreign exchange earnings or savings--a significance rating of the amount of foreign exchanged

earned or saved as a result of activity in the private sector generated by the project.

H. Host country policy re P/E--a significance rating of the impact of host country policy in promoting or inhibiting private sector development.

I. Involvement of host-country expertise in P/E component of the project--a significance rating of the degree to which host country personnel were involved in the project (or project component) relating to private sector development.

Annex 5

Computerized Database and Statistical Methodology

1. Creation of computerized database

Devres developed an integrated data analysis and information system for the final 212 project evaluation reports selected, which utilized dBASE III PLUS, LOTUS 123, and StatPac Gold software packages.

Database files, fields and variable characteristics were formulated based on the Evaluation Rating Form. Every question from each major topic was assigned a field or variable name. Records were stored in respective datafiles and related by corresponding evaluation numbers assigned at the time of entry.

Nine dBASE III files, two LOTUS 123 worksheets, and a StatPac Gold datafile, totalling over 800,000 bytes, were used to organize and store topic specific data. Thirty reporting templates and approximately 20 application software programs were designed and written to address system constraints, execute repetitive task, generated frequency reports, multi-variable cross-tabulated tables, derive various statistical measures and perform hypothesis testing. Two IBM-PC's, an IBM-based 80286 8Mhz AT and three printers were made available to process hundreds of data queries and statistical requests from the evaluation synthesis staff.

2. Statistical methodology: description of approach

The statistical methodology was designed to provide quantitative analysis of the measures of project performance based on Devres ratings of AID Evaluation Reports. A variety of statistical techniques were utilized to gain greater understanding of the nature and context of the determinants of five overall topic measures and the import of the subcomponents of the topic areas. The five topics treated in the evaluation rating exercise were project sustainability, the implementation constraints facing project execution, the emphasis of private enterprise issues, the role of women in development and the impact of environmental concerns. The project rating exercise yielded statistical data for each topic consisting of an overall topic measure (independently measured) and a set of measures of related sub topics--subcomponents of the major topic areas. However, some ERs did not involve certain topics and sub-topics. These were marked "Not Applicable," (8). In other instances no information was provided even where it would have been relevant. These were marked "Not Observed," (9).

The approach of the statistical methodology supported the formation of verifiable assertions about AID projects. First, organization of the data by issues for each topic was required. Assessment of regional and sectoral differences of project ratings was essential. In order to further refine and organize the conceptualization of the issues, a sizable amount of the data was stratified by range of response--high significance rating, low significance and non-significance. Consequently, frequency distributions of projects were extensively used to describe specific sub-populations. Subsequently, a major focus of the statistical methodology concerned the derivation and testing of hypotheses about the determinants of the overall performance indicators for the five topics. This approach rests on the fact that in the original review the rating of the overall topic was made on the basis of the reviewer's total impression from the content of the ER including direct statements and more implicit indicators and was not based on the sub-topic ratings. Hence analysis of the relative impact of the sub-topics on the overall ratings could be undertaken on a valid basis. The objective was to find specific instruments that could be shown to affect project performance.

A combination of inductive and deductive reasoning underlies the development of the assertions discussed in the analysis. The use of frequency distributions provided some initial guidance about the general trends and obvious differences that could be obtained by inspection of the data. A set of the most interesting variables (overall ratings and subcomponents) were then ordinally ranked by their simple correlation coefficients using a pairwise correlation matrix. The pairwise correlation matrix is the correlation coefficient (a measure of how strongly one variable is related to the other) of each pair of variables, given valid responses existed for both variables. Based on a priori conceptual expectations and the ordinal ranking of the factors from the pairwise correlation results, a set of plausible specifications were postulated to describe the determinants of the overall topic measures. In general, it was assumed the overall topic measure was affected by at least one major factor and one or more minor factors. Each of these specifications was subjected to empirical estimation and verification to obtain the most likely form of the relation.

The multiple regression econometric estimation technique was employed to derive exact measures of the strength of a factor's influence and its statistical significance as a potential determinant of a critical variable. A critical variable was defined as an overall rating for a topic and was specified as the left hand side (dependent) variable. The

right hand side (independent) variable(s) usually included the various subcomponents as either major factor(s), minor factor(s) or both. The regressions were estimated on the available valid data for the variables. The regression results empowered a test of the specification of a relation between the critical variable and a set of potential determinants. The hypothetical specifications selected as acceptable demonstrated a combination of high overall predictability (R-squared), and statistically significant estimators (rejection of the null hypothesis that the parameter was zero at 95 percent confidence) of the parameters for each of the factors, given the magnitude of the parameters was of the right sign and within theoretical bounds. The regressions specified the relationship as linear and included a constant term in the equation:

$$Y = a + b * X1 + c * X2$$

In this general form, Y is the critical variable, X1 is the major factor influencing it and X2 a minor factor. All variables were either binary (yes/no) or restricted to the same range of values (-5 to +5). This allows comparison of the estimators of the coefficients ("a" and "b" in the equation above) in terms of both their magnitude and statistical significance. The ratio of the parameter estimator ("a" and "b") and the variance of the estimator yields a "t-ratio" used to determine the significance of the estimator. Statistics on overall goodness of fit and other measures are also occasionally included where pertinent.

3. Methodology and results of statistical review of implementation variables

The statistical analysis of relationships among the various implementation sub-topics was carried out in three stages:

- o Statements of preliminary hypotheses, based on the reviewers' impressions following an initial reading of the evaluation reports;
- o Derivation of a pairwise combination correlation matrix¹, which included sub-variables for implementation and for sustainability; and
- o Tests of the strength of influence and statistical significance for a small subset of relationships

¹The pairwise combination correlation matrix is simply the set of correlation coefficients for each pair of ratings, given both ratings have valid responses.

which the above steps seemed to indicate might be important.

The statistical analysis of the correlation of ratings for overall implementation constraints with each of the sub-topics was made difficult by the truncated scale of the former (overall constraints), which included only negative values (-5 through -1). In order to enhance the correlation matrix analysis and subsequent regression analyses, a full-scaled (positive and negative) overall implementation constraint value was created based on a composite of the subconstraints: an unweighted linear combination of the eight sub-topic variables.

One of the strongest findings of the statistical analysis was that two factors--the AID-B/G understanding of project purpose and good contractor-AID-B/G relations--are contemporaneously affected strongly by the quality of project design. Any given level of understanding and relationship ratings was measurably and significantly improved by a good design.

The reviewers were asked to identify differences in project implementation between projects which began before FY 83 and those which began in FY 83 and later, i.e., when AID made a series of changes in its procedures designed to help improve project design and implementation. However, there was no significant difference between the means of each sample (i.e., of those projects beginning either before or after FY 83) or between the means of either sample and the mean of the whole population of 212 reports.