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## EVALUATION

# BUREAU FOR POLICY, PLANNING AND LEARNING: EVALUATION OF PROGRAM CYCLE IMPLEMENTATION

## FINAL REPORT

September 2013

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# **BUREAU FOR POLICY, PLANNING AND LEARNING: EVALUATION OF PROGRAM CYCLE IMPLEMENTATION**

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

## ACRONYMS

ADS	Automated Directives System
BRM	Office of Budget and Resource Management
CDCS	Country Development Cooperation Strategy
COR	Contracting Officer's Representative
DE	Office of Donor Engagement
DLI	Development Leadership Initiative Officer
DO	Development Objective
FSN	Foreign Service National
FSO	Foreign Service Officer
GCC	Global Climate Change and Development
GEFE	Gender Equality and Female Empowerment
IR	Intermediate Result
LER	Office of Learning, Evaluation, and Research
P	Policy
PAD	Project Appraisal Document
PDO	Project Development Officer
PO	Program Officer
PPC	Policy and Program Coordination
PPL	Bureau of Policy, Planning and Learning
PTT	Policy Task Team
S&T	Office of Science and Technology
SOW	Scope of Work
SPP	Office of Strategic and Program Planning
TDY	Temporary Duty
USAID	United States Agency for International Development
USAID/W	United States Agency for International Development/Washington, DC

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## EXECUTIVE SUMMARY

### EVALUATION PURPOSE AND EVALUATION QUESTIONS

The United States Agency for International Development (USAID) established the Bureau of Policy, Planning and Learning (PPL) in 2010 to return policy and strategy functions to USAID, after these functions had been moved to the U.S. Department of State in 2006.

PPL engaged EnCompass LLC to assess the effectiveness, utility and extent to which the Bureau's policies, reforms and activities are influencing Agency planning, programming, operations and budgetary decision-making, especially in Missions. The evaluation was specifically designed to provide PPL with a greater understanding of how well the Program Cycle has been understood, implemented, supported and integrated into organizational culture, and to inform PPL's strategy for deeper integration and institutionalization of the Program Cycle.

The evaluation addressed the following questions:

1. To what extent are USAID Missions effectively implementing and other stakeholders effectively supporting implementation of the Program Cycle?
2. To what extent are PPL Program Cycle products and services meeting the needs of Missions and others in the Agency?
3. What factors internal to PPL enable or constrain its effectiveness related to the Program Cycle?
4. What is needed to facilitate institutionalization of the Program Cycle?

### PROGRAM CYCLE BACKGROUND

The Program Cycle is a core mechanism by which PPL works to instill a "discipline of development" in the agency. It is at the center of USAID's efforts to achieve results and contributes to the broader objectives of USAID Forward, the Policy Framework (2011–2015), and higher level government-wide policies embodied in the Presidential Policy Directive 6 on Global Development and the joint Department of State-USAID Quadrennial Diplomacy and Development Review. Over the course of 2010-2012, PPL issued seven policies and strategies, CDCS and Project Design guidance, a draft Learning Guide, and revisions of ADS 201 and 202. PPL offices initially provided support to Missions on an "on-demand" basis, but adjusted their approaches to support over time, based on feedback and learning.

### EVALUATION DESIGN, METHODS AND LIMITATIONS

The evaluation design phase (October-December 2012), included review of a wide range of PPL reforms and activities, at the culmination of which PPL opted to focus the evaluation on the Program Cycle. The key components of the Program Cycle assessed during this evaluation were: Agency Policies and Strategies, Country Development Cooperation Strategy (CDCS), Project Design, Evaluation, and Learning and Adapting. PPL and the evaluation team jointly decided to exclude Budgeting and Performance Monitoring as subjects of the evaluation. To assess integration of USAID policy, PPL selected two "tracer" policies to be included in the evaluation: *Gender Equality and Female Empowerment* (GEFE) Policy and the *Global Climate Change and Development* (GCC) Strategy.

Data collection occurred between January and June 2013. The team employed a mixed-methods approach that included review of all approved CDCS (N=18) and a random sample of evaluation statements of work (N=30); 32 semi-structured key stakeholder interviews in USAID/Washington; 81 semi-structured key stakeholder interviews during visits to five Missions; facilitated group data collection sessions with Missions (N=15) and USAID/Washington (N=8); and an online survey of all USAID staff (1,441 Mission, 562 USAID/W, and 51 PPL respondents).

This evaluation focused on progress to date (2011-2013) in achieving desired changes in USAID staff behavior, but it was too early to examine the impact of the reintroduction of a strengthened Program Cycle and its components on the quality of USAID's development programs.

## SUMMARY OF FINDINGS

Overall, the concept of the Program Cycle has been well-received by USAID staff who perceive it as returning to a more rigorous, evidence-based, approach to programming. All Program Cycle components assessed during the evaluation are perceived as adding value to USAID's work, although Missions particularly struggle with implementation of the Project Design processes. Primary responsibility for implementing the Program Cycle in Missions rests with Foreign Service Officers (FSOs) with critical support from Foreign Service Nationals (FSNs). Uptake and implementation have been hindered by the exceptionally high volume of new policies and guidance issued over the past three years by PPL and Agency Initiatives (Presidential or otherwise). The "roll out" of the Program Cycle appeared to lack an overall plan to introduce and facilitate its reception and use in Missions.

**Knowledge, Attitudes and Roles related to the Program Cycle:** A majority of Agency staff has at least looked at the Program Cycle documents, with more than 40% of Mission FSOs having read the CDCS, Project Design Guidance, and Evaluation Policy carefully. However, regardless of whether they had read the guidance or received relevant training, more than half of Agency staff said they understood their role in each Program Cycle component. A significant majority of Mission staff report that their Mission struggles to manage the "fire hose" of policies and is not equipped to cope with this rapid rate of new policies.

*[The Program Cycle] is an extremely welcome return to a practical, tried-and-true approach to improved rigor, logic and effectiveness in programming. (Pillar Bureau)*

*Everyday a new policy and "wow, we have to build things in." But it becomes very overwhelming and you want to stop this insanity and focus on the core mandate: on programs. (Mission Technical Office)*

### **Implementation of Program Cycle Components:**

**CDCS:** Generally, Agency staff feels that the CDCS process has led to programmatic improvements, but implementation has been uneven. Mission staff is frustrated with the misalignment between the CDCS's systematic, evidence-based approach to strategy and the need to prioritize Presidential Initiatives over that process, and they are impatient with what feels like a lengthy USAID/W feedback process. **Project Design:** While there is general agreement that Project Design is a valuable management tool, FSOs do not see it as simplifying the Mission's work or supporting the procurement process. There is general dissatisfaction with the time and resource burden of Project Design, and the Missions' approach to the Project Appraisal Documents varies widely. **Evaluation Policy:** A large majority of staff feels the Evaluation Policy has contributed to improved evaluation rigor, quality and usefulness, and increased the number of evaluations conducted. Evaluation quality and utilization of findings to inform programs and budgets remain an issue. Evaluation statements of work (SOW) are not always aligned with SOW guidance. **Learning:** While more work is necessary to integrate learning into Agency culture, there is strong agreement that the Program Cycle helps Missions learn from past experiences and has encouraged internal collaboration, sharing, learning and adapting. **Agency Policies (GEFE and GCC):** Exposure to and understanding of various policies and strategies varies widely. There is a greater awareness of the GEFE Policy than the GCC Strategy. Implementation of new policies is hindered by a perception that policies are too broad and difficult to align with ongoing work, exacerbated by a lack of training for staff.

**Support for Mission Implementation of the Program Cycle:** Mission staff turns primarily to colleagues inside the Mission and secondarily to the Automated Directives Systems (ADS) for support on Program Cycle issues. Based on conflicting messages and input that is not timely, Missions perceive a lack of coordination between PPL and Regional and Pillar Bureaus. PPL guidance is seen as useful, and staff especially appreciates PPL facilitated in-person training at Missions and PPL. Many are unaware of ProgramNet and it remains underutilized.

**Factors enabling and constraining PPL in its success related to the Program Cycle:** The Administrator's commitment to PPL and to the evaluation policy has contributed to PPL's success. Responsiveness, interest and buy in of some Mission and USAID/W staff, as well as teamwork between PPL and Regional Bureaus has facilitated implementation. However, too many priorities (and a lack of focus) and an absence of championing for Project Design have constrained the uptake. Implementation is further hindered by a lack of accountability for Mission leadership on Program Cycle and a lack of engagement among the Pillar Bureaus. PPL has been enabled by strong leadership commitment to the Program Cycle, and the talent and dedication of the team; yet, because of pressure from above, PPL cannot always respond to Mission needs (e.g. slow down the pace of new policies). ProgramNet could become a platform for information sharing, but it needs upgrading and has not been properly marketed to field staff.

## CONCLUSIONS

The Program Cycle marks an important paradigm shift for the Agency, but institutionalization will not occur through promulgation of new guidance and policies alone. Mission staff wishes for a slower pace, better policy integration, training, and active support from PPL, Regional and Pillar Bureaus on the Program Cycle. PPL is adjusting its approach to Program Cycle support based on feedback and learning.

## RECOMMENDATIONS

1. Agency and PPL leaders should prioritize PPL staff's focus on institutionalizing the Program Cycle.
2. PPL and other Bureaus, with Agency leadership backing, should spearhead the effort to identify synergies between the Program Cycle and other guidance.
3. PPL and other Bureaus should strategically pace or spread out issuance of new policies and guidance.
4. PPL, in consultation with other Bureaus, should more clearly articulate roles and responsibilities in Program Cycle implementation and support to Missions.
5. PPL should advertise ADS 201 to ensure all required information is widely accessed and understood.
6. PPL should monitor measures of success in implementation and change related to the Program Cycle.
7. PPL and the Office of Budget and Resource Management (BRM) should work with Agency leadership to provide Missions with ways to reconcile Program Cycle and Presidential Initiative budgetary and procurement procedures.
8. In 2014, PPL should evaluate the effectiveness of CDCS's strategic directions.
9. PPL should evaluate the Project Design process in 2015 for alignment of Concept Papers and PADs with the guidance.

10. PPL should continue to help Missions fulfill their role in evaluation.
11. PPL should strengthen communications and coordination systems, and mechanisms between BRM, Missions, and Regional and Pillar Bureaus.
12. PPL should develop a range of learning options to suit various styles and needs.
13. PPL should continue its efforts to expand Agency-wide knowledge and access to ProgramNet.
14. The Agency should continue to strengthen Program Office staffing and support to ensure the capacity to implement the Program Cycle as intended.

## PART 1: BACKGROUND AND CONTEXT FOR THE EVALUATION

### 1 EVALUATION PURPOSE AND EVALUATION QUESTIONS

#### 1.1 EVALUATION PURPOSE

The United States Agency for International Development (USAID) established the Bureau of Policy, Planning and Learning (PPL) in 2010 to return policy and strategy functions that were moved to the U.S. Department of State in 2006 back to USAID (see **Exhibit 1** for PPL core responsibilities). Since its formation, PPL has engaged in a number of efforts to make USAID a premier development agency through interactions with a range of stakeholders within and outside USAID (both headquarters and Missions).

PPL engaged EnCompass LLC to assess PPL's effectiveness and utility, and the extent to which its policies, reforms and activities are influencing Agency planning, programming, operations and budgetary decision-making, especially in Missions (see **Appendix 1, page 41** for the Statement of Work).

During an extensive design phase (October-December 2012) that included an evaluability assessment, PPL opted to focus this evaluation on Program Cycle reforms and policies (See **Appendix 2, page 48** for the Executive Summary). The Program Cycle is at the core of USAID's efforts to achieve results, and contributes to the broader objectives of USAID Forward, the Policy Framework (2011–2015) and higher level government-wide policies embodied in the Presidential Policy Directive 6 on Global Development and the joint Department of State-USAID Quadrennial Diplomacy and Development Review. The Program Cycle is comprised of Agency Policy and Strategy, Country Development Cooperation Strategy (CDCS), Project Design and Implementation, Evaluation and Monitoring, Learning and Adapting, and Budget/Resources.

The evaluation was designed to provide PPL and the Agency with a greater understanding of how well the Program Cycle has been understood, implemented, supported and integrated into organizational culture, and to provide input toward a strategy for deeper integration and institutionalization of the Program Cycle into Mission processes and culture. The four evaluation questions that frame the evaluation can be found in **Exhibit 2** on the next page. The first question investigates the outcomes from PPL's actions to date, in terms of how well stakeholders are shifting to behaviors that align with the development discipline of the Program Cycle. The second and third questions examine (a) the relevance and effectiveness of PPL products and services, and (b) factors that might explain the current level of PPL effectiveness. The fourth question explores what is needed for further institutionalization of the Program Cycle and what role should PPL play vis-à-vis other concerned Agency actors.

#### Exhibit 1: PPL's Responsibilities

- Leading USAID's policy formulation
- Shaping overall strategic and project planning
- Facilitating USAID's evolution as an evaluation and learning organization
- Overseeing donor engagement
- Institutionalizing science and technology for more efficient and cost-effective development solutions
- Serving as the technical backstop for USAID Program Officers and Project Development Officers.

## Exhibit 2: Four Evaluation Questions

1. To what extent are USAID Missions effectively implementing and other stakeholders effectively supporting implementation of the Program Cycle?
2. To what extent are PPL Program Cycle products and services meeting the needs of Missions and others in the Agency?
3. What factors internal to PPL enable or constrain its effectiveness related to the Program Cycle?
4. What is needed to facilitate institutionalization of the Program Cycle?

## 2 PPL ROLE AND THE PROGRAM CYCLE

The PPL Bureau, currently comprised of five Offices – Front / Program Office, Policy (P), Strategic and Program Planning (SPP), Learning, Evaluation and Research (LER), and Donor Engagement (DE) – has a high-level mission and mandate (see **Exhibit 3**) with authority to develop Agency-wide policies aligned with U.S. Government (USG) political priorities and Congressional directives. PPL has a critical role in Agency implementation of Presidential Policy Directive 6 on Global Development, the joint Department of State-USAID Quadrennial Diplomacy and Development Review, and various international declarations on Aid Effectiveness, including the November 2011 Busan Declaration. With the aim of serving as a catalyst, PPL’s success is defined by the degree to which Agency operating units adopt, and practice new approaches to strategy, and project and activity design, including engaging external stakeholders.

One of the core elements that will define USAID as the premiere development agency is its emphasis on achieving results; harkening back to the era of the USG reengineering in the early 1990s when the Bureau of Policy, Planning and Coordination led the Agency in these efforts. Some two decades later, the principal link between the two eras is the renewed focus on articulating, managing, monitoring and evaluating, and reporting on development results. The reinvigorated Program Cycle is the mechanism by which PPL will instill a “discipline of development” in the agency, as it provides “a more strategic and evidence-based approach to justifying resources, and serves as the basis for a more integrated budget cycle, ensuring that resource decisions are built around strategic plans and priorities and performance and evaluation data. The Program Cycle acknowledges that development is not static and is rarely

## Exhibit 3: PPL’s Mission and Mandate

“The new Bureau will mobilize cutting-edge development leadership thinking, empower Agency talent and increase USAID’s ability to forge innovative partnerships. It will bring coherence to policy-related activities that are dispersed throughout the Agency. Building on existing pockets of innovation and expertise within USAID, PPL will support the transformation of the Agency into a model learning organization. Working closely with State S/P and F, it will advance shared policy perspectives through an informed and unified voice in inter-agency fora and with external audiences. These changes are designed to promote a culture of learning, transparency and accountability for results... Ultimately, PPL will provide the Administrator with the basic tools required to rebuild agency capacities, advise the Secretary and the broader inter-agency on development-related issues, and implement programs with better results for taxpayers.”

--PPL Concept Note, May 17, 2010

linear, and therefore stresses the need to assess and reassess through regular monitoring, evaluation, and learning.”<sup>1</sup>

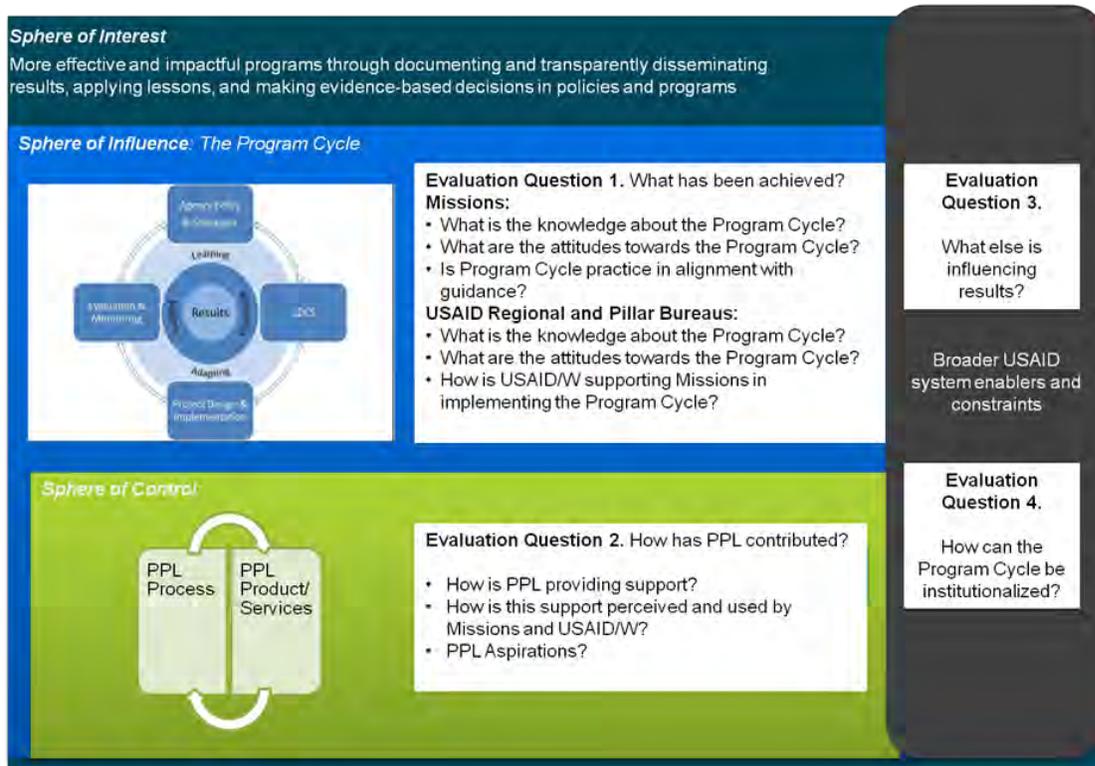
Over the course of 2010-2012, PPL developed and issued seven policies and strategies, three versions of guidance for the Country Development Cooperation Strategy (CDCS), Project Design guidance, a draft Learning Guide, and revisions of the Automated Directives Systems (ADS) 201 and 202. PPL offices provided support to Missions initially on an “on-demand” basis. Over time, PPL adjusted its approach to support, based on feedback and learning, and began to supplement guidance with Program Cycle-specific workshops, a community of practice, and tailored technical assistance.

When this evaluation commenced, PPL did not have an explicit, agreed-upon theory of change indicating pathways through which the Bureau would translate its mission and mandate into actions for desired results and impact. Given the catalytic nature of PPL’s role, outcome mapping provided an appropriate frame for visualizing a theory of change because it recognizes and highlights various spheres of results and helps identify the reach and cascading impact of PPL’s direct interventions on different stakeholder behavior. Outcome mapping involves three spheres of results: 1) **Sphere of Control**: actions and results that are within PPL’s control to determine or in their manageable interest to achieve; 2) **Sphere of Influence**: results that PPL is trying to catalyze among its stakeholders (e.g. Missions, other Bureaus and Offices, USG, and donors); and 3) **Sphere of Interest**: higher-level results achieved as a function of stakeholder behaviors and actions that PPL has influenced or catalyzed, including development results. The theory of change sketched out by the evaluation team (**Exhibit 4** with an outcome-mapping overlay) shows the wide range of actions in PPL’s Sphere of Control targeting many different stakeholder groups in the Sphere of Influence.

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<sup>1</sup> Program Cycle Overview, USAID, December 9, 2011

**Exhibit 4: PPL’s Theory of Change with Accompanying Evaluation Questions**



The evaluation team worked with PPL to articulate key desired behaviors it sought to influence through Bureau efforts. These desired behaviors, presented in **Appendix 3, page 48**, articulate what needs to happen for effective implementation of the Program Cycle and represent what PPL is trying to promote among its stakeholders.

**3 EVALUATION DESIGN AND METHODOLOGY**

This evaluation, designed as a learning and strategic planning tool for PPL and its stakeholders, was grounded in systems thinking and appreciative inquiry, while using utilization-focused and participatory approaches.

**3.1 EVALUATION DESIGN PROCESS**

PPL requested an extensive design phase (October-December 2012) as part of the evaluation scope of work, which included an evaluability assessment of PPL’s policies, reforms, and major activities (A list of documents reviewed can be found in **Appendix 4**, starting on **page 63**). The evaluation team led focus sessions using appreciative inquiry and participatory methods with each of PPL’s five Offices to gather information on successes, challenges, stakeholders and future vision. This information was complemented by data from 33 individual interviews, covering 17 PPL staff, 9 USAID (non-PPL) staff, 3 U.S. Department of State staff, 4 external stakeholders to the Agency and the USG, and review of PPL-provided documents including the PPL concept note and creation memos, retreat notes, PPL surveys, briefings, conference documents, and external stakeholder reviews of USAID policies.

Although the Program Cycle includes six components, PPL and the evaluation team jointly determined to exclude Budget and Monitoring as subjects of the evaluation. PPL is not directly involved in determining guidance for budgeting, and the PPL guidance on Performance

Monitoring was only issued in November 2012 which was too soon before the launch of the evaluation to give the field time to begin implementation. Additionally, the number of PPL-led policies and strategies was felt to be too large and thus one PPL-issued policy and one strategy were selected as “tracers,” the Gender Equality and Female Empowerment (GEFE) Policy and the Global Climate Change and Development (GCC) Strategy.

### 3.2 METHODS

Between January and June 2013, the evaluation team employed a mixed-methods approach (summarized in **Exhibit 5** on the next page), including systematic document review, semi-structured key stakeholder interviews, visits to five Missions to develop cases, facilitated group data collection sessions with Missions and USAID/Washington (USAID/W), and an online survey of all USAID staff.

**Exhibit 5: Sample size for Data Collection**

Data Collection Method	USAID Washington	Missions
<b>Semi structured interviews</b>	32 individual and group interviews	Country visits: 81 individual and group interviews
<b>Facilitated group data collection sessions</b>	8 sessions	Country visits: 15 sessions – one FSO, one FSN, and one with Implementing Partners
<b>Online survey</b>	562 respondents from all Pillar and Regional Bureaus and 10 Offices  51 respondents from PPL	1441 respondents from 66 Bilateral Missions and 8 Regional Missions
<b>Systematic review of Program Cycle Products</b>		18 CDCS; 30 Evaluation SOWs; 6 PADs (from five countries visited)

Specifics of a few methods are described below, with more detail in **Appendix 3. Appendix 5** (starting on **page 71**) contains all the semi-structured interview guides, questions used in facilitated group discussion sessions, the online survey questionnaire, and the checklists for CDCS, Project Appraisal Document (PAD) and Evaluation Scope of Work (SOW).

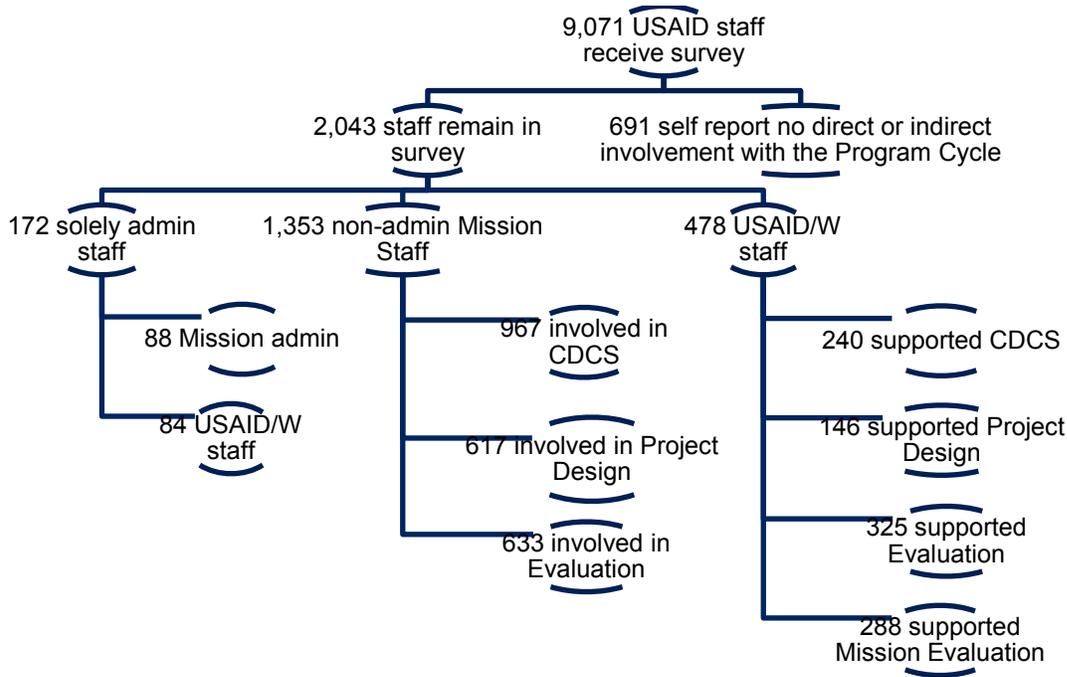
**Country Visits:** The evaluation team conducted visits to five USAID Missions selected jointly with PPL from countries with an approved CDCS: Ethiopia, Georgia, Peru, and Senegal, and one in Phase 3 of CDCS development: Nepal. A team of two evaluators spent four days at each Mission to explore Program Cycle dynamics in Missions through data collected from Mission staff, implementing partners, host country governments and other donors. The teams used semi-structured interviews and facilitated group data collection sessions. **Appendix 6** (starting on **page 111**) includes short summary “cases” from these five Missions and presents the Mission perspective on their experience implementing the Program Cycle.

**Systematic review of documents and products:** The evaluation team undertook a content analysis of a sample of country-level CDCS, Project Appraisal I Documents (PAD) from countries visited, and a sample of Evaluation Scopes of Work (SOW) from the Development Experience Clearinghouse. These reviews used specific checklists of criteria to assess alignment with the corresponding guidance and policy (see **Appendix 5**, starting on **page 94**).

**Online survey of USAID staff and other stakeholders:** The evaluation team launched an online survey to obtain an Agency-wide representative sample of knowledge, perceptions of utility, and application of (and support for) Program Cycle components. To cast a wide net, a

SurveyMonkey platform survey was sent to 9,071 people, based on a list of all USAID email addresses. Of these, 30% opened the survey, and another 7.5% opted out by saying they had no direct role in the Program Cycle. **Exhibit 6** presents the resulting sample across various survey components. The evaluation team administered a separate online survey to 102 PPL staff and obtained a 50% response rate.

**Exhibit 6: Online Survey Sample**



N.B. Sample sizes for staff breakdown by admin, Mission, and USAID/W are smaller than the total number of staff who started the survey due to opting out and/or failure to answer biographical questions

**3.3 ANALYSIS**

Qualitative data from individual and group interviews, facilitated data collection sessions and the online survey were transcribed and coded in Dedoose, a cross-platform application for qualitative and quantitative analysis. Information from the systematic review of Program Cycle products were extracted to Excel spreadsheets for analysis. Online survey data were analyzed using IBM SPSS Statistics and included descriptive statistics, as well as parametric and non-parametric tests to examine within and between group differences in response to questions. Data from all sources were triangulated to verify emerging themes. The findings, conclusions and recommendations presented here represent the full view of all evaluation team members.

**3.4 LIMITATIONS**

This evaluation was undertaken approximately two years after the introduction of various Program Cycle components and it focused on progress to date in achieving desired changes in behavior and the factors that have facilitated or hindered those changes. It was too early in the process for this evaluation to measure impact of a strengthened Program Cycle and its components on the quality of USAID’s development programs.

It is possible that there is some positive reporting bias among respondents to the online survey on questions that relate to behavior, such as whether they read the Program Cycle documents carefully.

Results from the five country visits are not representative of all countries since in order to be selected, countries needed to have a completed CDCS.<sup>2</sup> The countries visited were among the first to go through the new Program Cycle processes during which PPL was still learning how best to support Missions. PPL strategies have changed significantly from a demand-driven model to more active approaches and training courses. Thus, although some of the countries visited had received support in the form of Temporary Duties (TDYs), none of the countries visited had benefited from a CDCS workshop, which only started in September 2012.

While an Evaluation Reference Group was established in the design phase, due to scheduling issues it was difficult to convene them for discussion and feedback.

## PART 2: EVALUATION OF PPL'S EFFORTS

Mapping onto PPL's Theory of Change the evaluation looked first at staff knowledge, attitudes and roles regarding the Program Cycle (Sphere of Influence), followed by staff experiences implementing the Program Cycle. The next section of findings presents the experience of Regional (geographic) and Pillar (functional) Bureau support to Missions (Sphere of Influence), and the support provided directly by PPL (Sphere of Control). The final two sections present enablers and constraints that are internal to PPL, and then broader USAID enablers and constraints including measures needed to institutionalize the Program Cycle. All data presented in these sections as a percentage or mean are drawn from closed-ended questions from the online survey. **Exhibit 7** presents how respondents are categorized in subsequent tables and graphs. All quotes presented are representative of the main themes that emerged from qualitative analysis of semi-structured interview and participatory group discussion data, as well as open responses from the online survey. All interview and participatory group discussion respondents agreed to be quoted anonymously by stakeholder group.

### Exhibit 7: Meaning of Online Survey Respondent Categories

- **USAID/W staff:** USAID headquarters staff excluding PPL staff and staff whose functions in the USAID email list listed them as Administrative Management Support (staffing, IT, driver, etc.)
- **PPL staff:** Staff in the PPL Bureau
- **Mission staff:** Staff at USAID Missions excluding staff in the Executive Office or Regional Legal Advisors, who were analyzed separately.
- **Mission support staff:** Staff at USAID Missions' Financial Management or Procurement Offices

## 4 STATUS OF PROGRAM CYCLE IMPLEMENTATION WITHIN USAID

This section focuses on USAID staff behaviors related to Program Cycle implementation represented in **Exhibit 38**, Sphere of Influence (blue) and detailed in **Appendix 3, Exhibit 38, page 57**.

### 4.1 KNOWLEDGE, ATTITUDES AND ROLES RELATED TO THE PROGRAM CYCLE

Knowledge and attitudes are important components of behavior change; this section presents findings on awareness and perceived value of the Program Cycle within the Agency, and individuals' understanding of their role and preparedness to carry out that role. **Exhibit 8** presents an overview of key findings on staff knowledge, attitudes and roles related to the Program Cycle.

<sup>2</sup> For one of the countries visited, their CDCS was completed but not approved at the time of the visit.

## Exhibit 8: Key Findings on Knowledge, Attitudes and Roles Related to the Program Cycle

### Key Findings on *Knowledge, Attitudes and Roles* related to the Program Cycle

- USAID staff generally view the Program Cycle positively and agree (by large percentages) that all components contribute to “better development outcomes.”
- To a somewhat lesser extent, USAID staff view the Program Cycle as an innovative way for the Agency to do its work, although less so among Mission FSOs and USAID/W.
- There is general agreement that Mission and Agency leadership are committed to the Program Cycle, but perceptions of leadership commitment vary between Missions and USAID/W.
- USAID/W and PPL staff strongly agree that Agency leadership is committed to the Evaluation and GEFE Policies; less so to CDCS and Project Design.
- A significant majority of Mission staff report that their Mission struggles to manage the “fire hose” of policies and guidance, and is not equipped with the resources to absorb the rate of new policies and guidance into their work.
- The majority of USAID staff have at least looked at the Program Cycle documents.
- More than half of Agency staff said they understood their role in each Program Cycle component, regardless of whether they had read the relevant guidance or had received relevant training.
- Program Cycle-related training was not associated with an increase in respondents’ knowledge and skills on the CDCS and Project Design, but there was an association between reading the guidance and perceived knowledge and skills.

### 4.1.1 ATTITUDES TOWARD THE PROGRAM CYCLE

**USAID staff generally has a positive view of the value of the Program Cycle.** Mission staff agree that the Program Cycle is helping USAID strengthen its “discipline of development” and represents “an innovative way for USAID to do its work.” As a Pillar Bureau staff member noted: “[The Program Cycle] *is an extremely welcome return to a practical, tried-and-true approach to improved rigor, logic and effectiveness in programming.*” **Exhibit 9** presents more information about the unique perspective of FSNs on the Program Cycle. **Exhibit 10** shows that, among Mission staff, Foreign Service Officer (FSO) responses tend to align with USAID/W, whereas Foreign Service Nationals (FSN) report more positively. Among USAID/W staff, Pillar Bureau staff were more likely than Regional Bureau staff to agree that the Program Cycle is helping USAID strengthen the discipline of development, but held similar perceptions on how innovative the Program Cycle is.

## Exhibit 9: Unique Perspective of Foreign Service Nationals (FSNs)

FSNs comprised 58% of all Mission survey respondents. When significant differences were seen in some results between Mission and USAID/W staff, further investigation indicated that FSN perceptions were driving that difference, and that Mission FSO perceptions were more in line with USAID/W staff. Yet, FSN respondents are not significantly different from Mission-based FSOs in terms of exposure to training on the Program Cycle, nor are they distributed differently among Mission offices. There is a small but statistically significant difference in the percentage of FSNs that have been at Mission 0-3 years (with more in that category among FSNs (34%) than FSOs (27%)).

FSNs tend to feel more positive than FSOs about:

- The Program Cycle overall (strengthens the discipline of development, represents an innovative way for USAID to do its work);
- Project Design (simplifies our work; PADs are aligned with procurement, PAD is an improvement over AAD);
- The capacity of their Mission to manage the various policies, strategies and guidance- FSNs are less likely to feel overwhelmed.

FSNs tend to be less aware of the key Program Cycle documents, but those who have been exposed to the guidance tend to have a similar perspective as FSOs and USAID/W staff in terms of its usefulness, and their views do not vary from FSOs' related to the CDCS, Evaluation, or Learning.

Furthermore, qualitative data indicate that some Mission and USAID/W staff feel slighted when the Program Cycle is referred to as “new” or “innovative,” as if indicating that USAID staff was either ignorant or not already implementing many aspects of the Program Cycle prior to PPL’s coming into existence:

*I always see Program Cycle capitalized like it is trademarked or something. Is it new? All of these components seem like things we’ve done before. (Pillar Bureau)*

*The Program Cycle isn’t anything new or innovative...so let’s stop selling things as new or innovative. (PPL)*

Even when broken out by Program Cycle component, Mission and USAID/W staff responded positively that the CDCS, Project Design, the Evaluation Policy and the GEFE Policy will help USAID produce better development outcomes, with PPL staff having the most positive attitude (**Exhibit 11**).

Pillar Bureau staff was more positive about the CDCS to help USAID produce better development outcomes than Regional Bureau staff, but their perceptions were not different for other Program Cycle components.

**Exhibit 10: Comparison of mean agreement by Mission, USAID/W, and PPL: The Program Cycle represents an innovative way for USAID to do its work / is helping USAID strengthen the discipline of development**

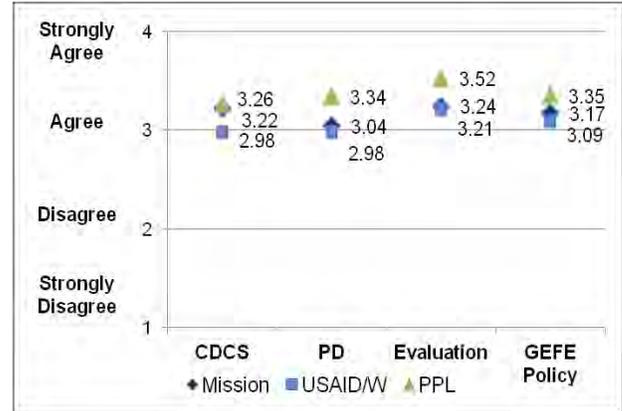
Mission FSNs and PPL are more positive than Mission FSOs and USAID/W.



Innovative: Mission FSN n=611, Mission FSO n=353, USAID/W n=392, PPL n=43; Strengthen: Mission FSN n=611, Mission FSO n=353, USAID/W n=379, PPL n=38.

**Exhibit 11: Comparison of mean agreement by Mission, USAID/W, and PPL: Program Cycle components contribute to better development outcomes**

PPL is more positive overall than Missions and USAID/W.

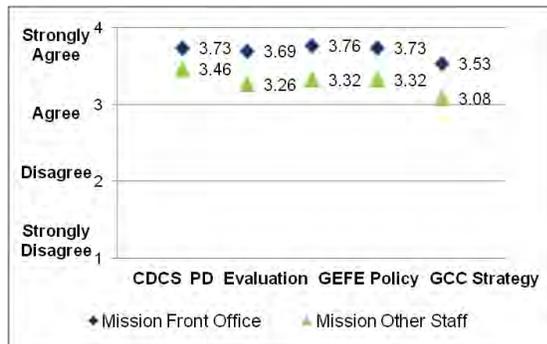


Note: FSN/FSO breakdown not shown because there were no significant differences. CDCS: Mission n=683, USAID/W n=181, PPL n=31; Project Design: Mission n=276, USAID/W n=107, PPL n=29; Evaluation: Mission n=528, USAID/W n=228, PPL n=29; GEFE Policy: Mission n=688, USAID/W n=255, PPL n=26.

**Leadership is committed to the Program Cycle, but perceptions of commitment vary.**

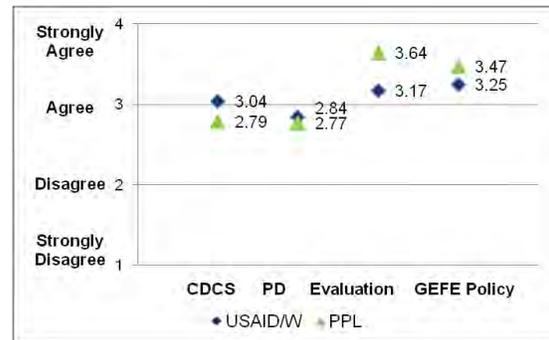
Overall, USAID staff felt there is commitment to the Program Cycle among Mission and Agency leadership, as shown in **Exhibit 12** and **Exhibit 13**. However, leadership commitment is felt more strongly at Mission than Agency level. Within Missions, Front Office staff reports being committed to the Program Cycle at a higher level than the rest of Mission staff. Mission Front Office staff reports a higher level commitment than other staff perceives from them. PPL reports higher commitment on Evaluation and GEFE Policy than USAID/W staff.

**Exhibit 12: Comparison of mean agreement among Mission staff: Mission leadership is committed to Program Cycle components**



CDCS: Mission Front Office n=41, Mission Other Staff n=728; Project Design: Mission Front Office n=32, Mission Other Staff n=534; Evaluation: Mission Front Office n=34, Mission Other Staff n=548; GEFE Policy: Mission Front Office n=41, Mission Other Staff n=720; GCC Strategy: Mission Front Office n=32, Mission Other Staff n=375.

**Exhibit 13: Comparison of mean agreement at USAID/W and PPL: Agency leadership is committed to Program Cycle components.**

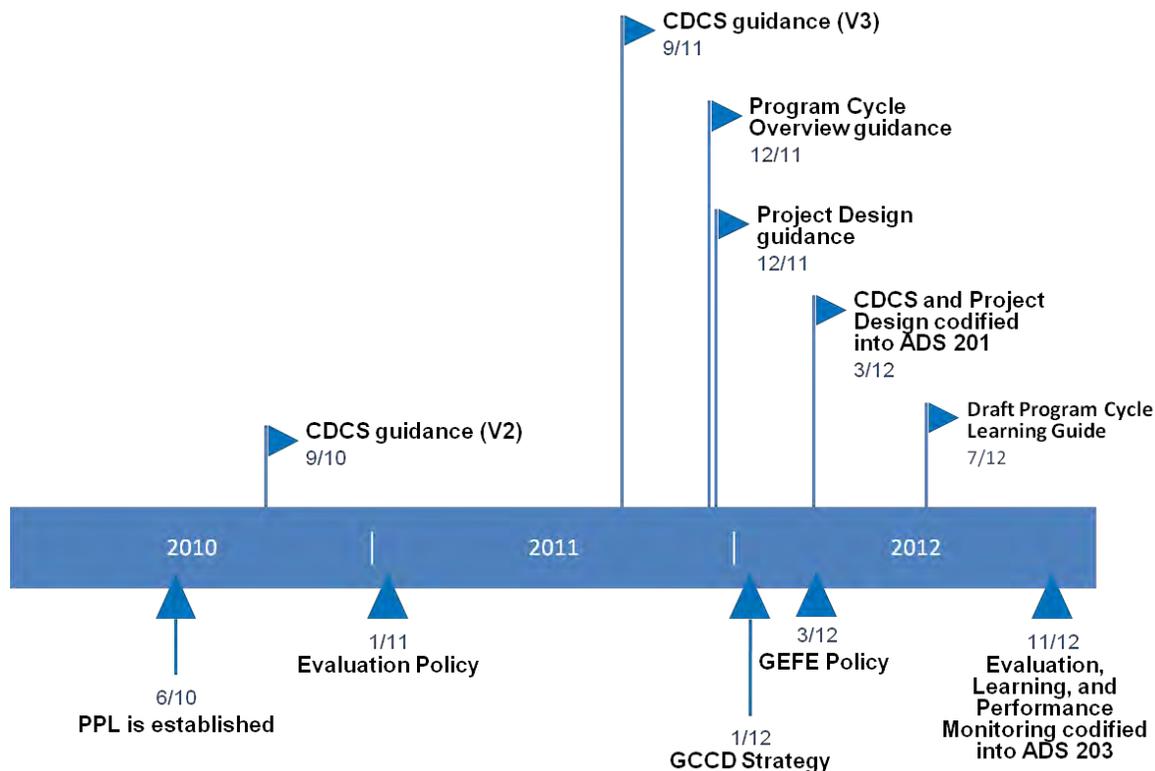


CDCS: USAID/W n=196, PPL n=33; Project Design: USAID/W n=103, PPL n=30; Evaluation: USAID/W n=217, PPL n=36; GEFE Policy: USAID/W n=282, PPL n=35

#### 4.1.2 AWARENESS OF THE PROGRAM CYCLE

The various PPL-issued policies and guidance for Program Cycle components developed and disseminated before and during the evaluation period were issued separately over a period of 27 months as illustrated in **Exhibit 14**.

**Exhibit 14: Timing of PPL-issued Policies, Strategies, and Program Cycle Guidance**

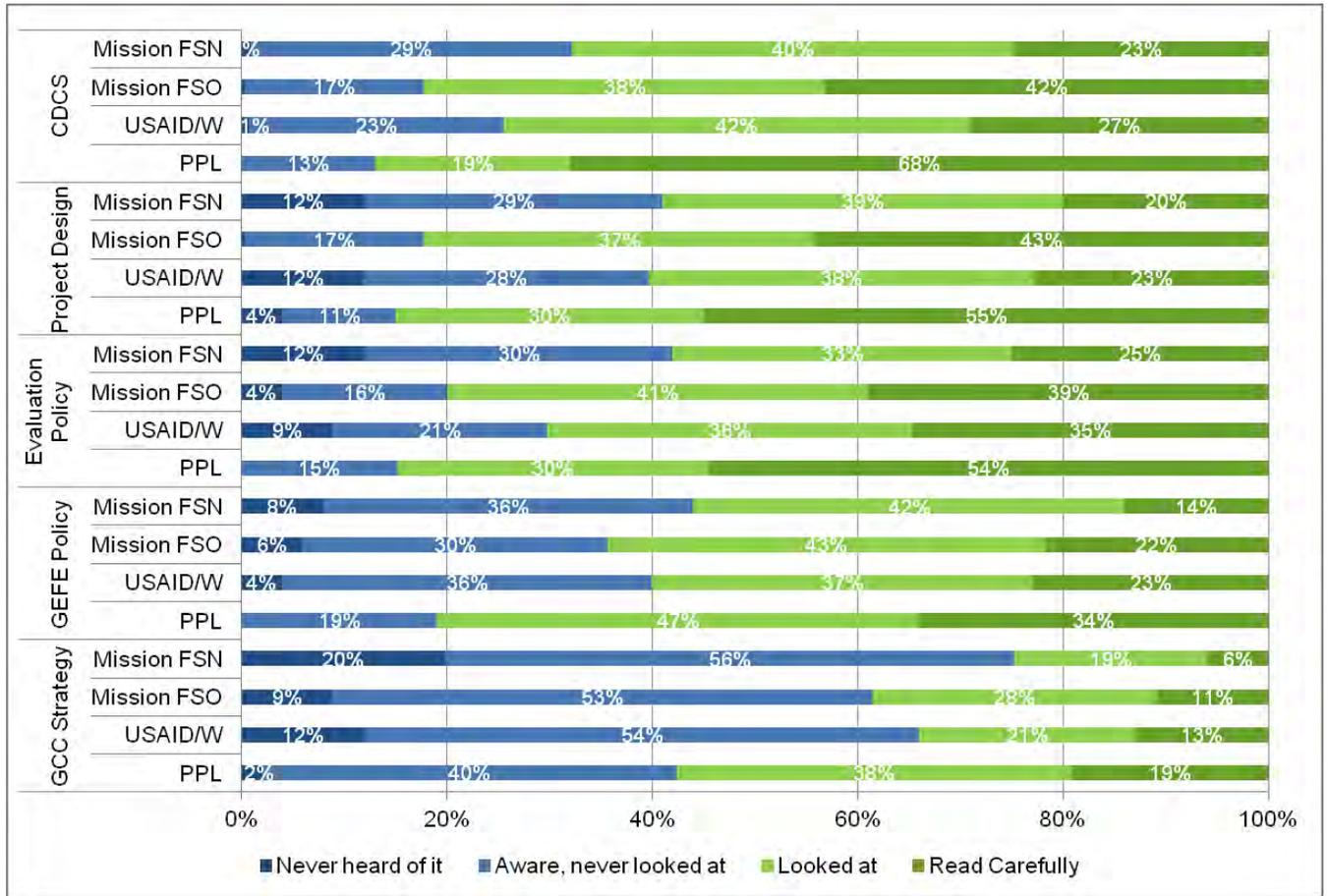


N.B. This exhibit does not include all PPL-issued Agency Policies and Strategies, only the two tracers used in this evaluation.

**The majority of Mission and USAID/W staff has been exposed to Program Cycle-related documents.** Most staff reported having at least looked at the Program Cycle Overview, CDCS Guidance, Project Design Guidance, Evaluation Policy, GEFE Policy, and GCC Strategy. **Exhibit 15** presents a breakdown by staff categories and demonstrates variations in awareness. PPL staff was more likely to have read these documents carefully compared to other USAID/W or Mission staff. Overall, FSNs were less likely to have read the documents than FSOs. At USAID/W, Regional Bureau staff was more likely than Pillar Bureau staff to have read the CDCS Guidance, but there were no differences with awareness of other Program Cycle-related documents.

**Among FSOs, awareness is lower for those based in Washington than those in the field.** FSOs in Washington were less likely to have read the guidance and policies than their counterparts in the Missions. No significant differences were seen across Front, Program or Technical Offices for USAID/W staff, although Procurement staff reported lower levels of awareness of the CDCS Guidance and Evaluation Policy.

**Exhibit 15: Levels of awareness for Program Cycle-related documents (disaggregated by PPL, USAID/W, Mission FSO, and Mission FSN)**

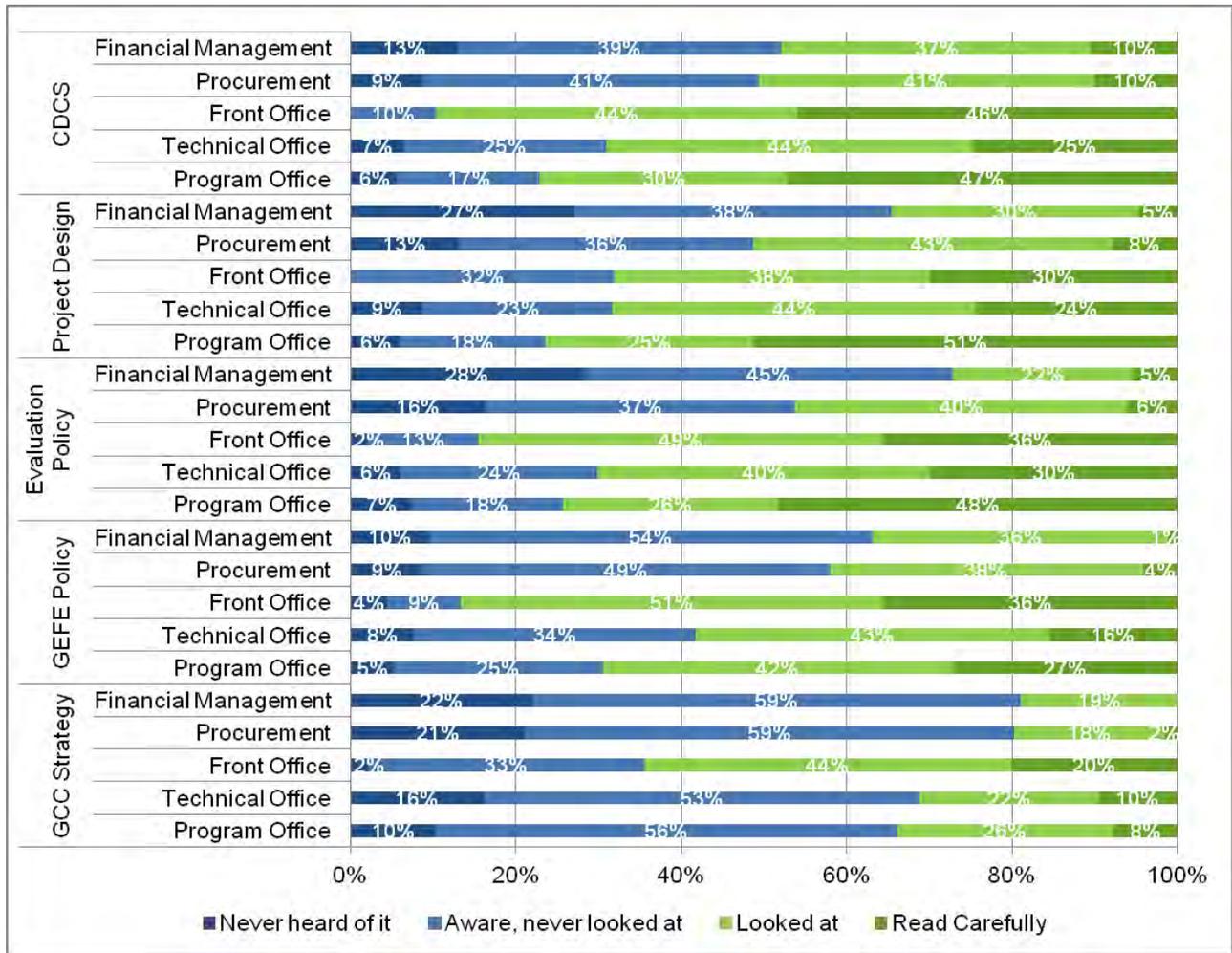


CDCS: Mission FSN n=654, Mission FSO n=362, USAID/W n=431, PPL n=47; Project Design: Mission FSN n=608, Mission FSO n=345, USAID/W n=418, PPL n=47; Evaluation: Mission FSN n=521, Mission FSO n=325, USAID/W n=411, PPL n=46; GEFE Policy: Mission FSN n=534, Mission FSO n=324, USAID/W n=410, PPL n=47; GCC Strategy: Mission FSN n=514, Mission FSO n=325, USAID/W n=411, PPL n=47.

**Overall, staff is less aware of the GEFE Policy and GCC Strategy than policies and guidance related to CDCS, Project Design and Evaluation.** While true for both GEFE and GCC, awareness was especially low across the board for the GCC Strategy. Only among Mission Front Office and PPL staff were the percentages of staff who had at least looked at the guidance more than 50%. Awareness of many other relevant policies and strategies were similarly limited across Agency staff (See **Appendix 7, Exhibits 41, 42, and 43**, starting on **page 123** for awareness of the full set of PPL-issues policies and guidance).

**Mission Front and Program Office staff is more likely to have looked at or read the guidance and policies carefully than other Mission staff.** In Missions, Front Office staff had significantly higher levels of awareness of the CDCS Guidance, the Evaluation and GEFE policies, and the GCC strategy than Technical and Support Office staff. Front Office and Program Office staff had similar levels of awareness on the various guidance documents, with the exception of the Project Design Guidance, where the Program Office staff was more likely than the Front Office to have read the guidance carefully. At least half of Support Office staff had not looked at the policies or guidance documents, and many did not know about their existence (**Exhibit 16**). Moreover, 24% of Financial Management and 20% of Procurement staff reported not knowing what the Program Cycle is.

Exhibit 16: Levels of awareness by Mission Office for Program Cycle-related documents



CDCS: Financial Management n=115, Procurement n=79, Front Office n=48, Technical Office n=666, Program Office n=261; Project Design: Financial Management n=107, Procurement n=76, Front Office n=47, Technical Office n=616, Program Office n=252; Evaluation Policy: Financial Management n=92, Procurement n=67, Front Office n=45, Technical Office n=548, Program Office n=230; GEFE Policy: Financial Management n=95, Procurement n=69, Front Office n=45, Technical Office n=555, Program Office n=232; GCC Strategy: Financial Management n=95, Procurement n=66, Front Office n=45, Technical Office n=539, Program Office n=230.

Analyzed separately, Mission Executive Office staff and Regional Legal Advisors reported exposure to the CDCS and Project Design guidance in line with Financial Management and Procurement staff.

#### 4.1.3 MISSION PERCEPTIONS OF THEIR ABILITY TO MANAGE POLICIES AND GUIDANCE

Both the qualitative and quantitative data indicate that many Mission staff feel their Missions are struggling to cope with the volume of new policies, strategies and guidance, and the rate at which they are issued. Results from the online survey on this issue varied significantly between FSOs and FSNs, with FSNs having more positive perceptions about their Missions' ability to manage, but also being more likely to respond that they were unsure about their Missions' ability to manage. Among FSOs, half (50%) reported that their Mission is struggling to manage the new policies, strategies and guidance due to human resource or capacity constraints, 27% reported that their Mission has the resources, but that the rate at which new policies, strategies, and guidance are received is "too much too fast" and only 15% feel that their Mission is able to

manage the current situation. FSO perceptions varied across Mission Offices, as illustrated in **Exhibit 17**, with Mission Front Office FSOs being significantly more likely to feel that their Mission was able to manage than those in other Mission Offices.

**Exhibit 17: Perspective of FSOs regarding their Mission’s ability to manage various policies, strategies, and guidance**

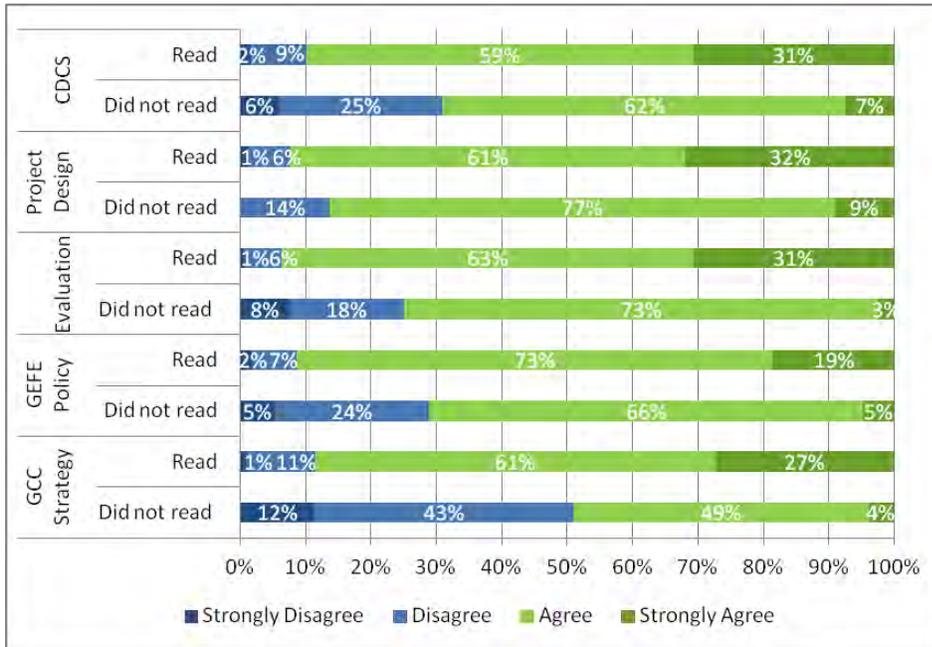


**4.1.4 STAFF UNDERSTANDING OF THEIR ROLES AND PERCEIVED KNOWLEDGE AND SKILLS WITH RESPECT TO PROGRAM CYCLE COMPONENTS**

**Overall, USAID/W and Mission staff reported understanding their roles related to the various Program Cycle components.** Among both USAID/W and Mission staff involved in the various Program Cycle components, more than 85% reported understanding their roles for CDCS, Project Design, Evaluation, and GEFE. This was only lower for GCC, with less than 65% at USAID/W and 75% in Missions saying they understood their role. With respect to the CDCS and Project Design, Program Office and Front Office staff in Missions were more likely to report understanding their roles than Mission Technical Office staff, and across all Program Cycle components, Mission Financial Management and Procurement staff reported a lower level of understanding than others.

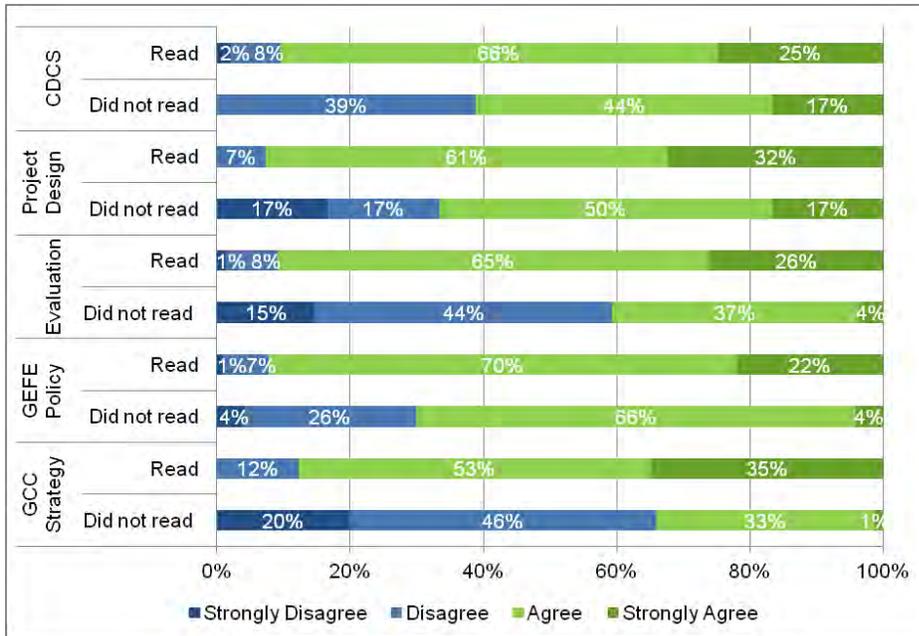
**There is a strong association between having read various guidance documents and policies, and understanding one’s role.** In most cases, reading a guidance document or associated Automated Directives System (ADS) correlated with Agency staff strongly agreeing that they understood their role in that Program Cycle, as illustrated in **Exhibit 18** (Mission) and **Exhibit 19** (USAID/W). The same pattern also held true for Mission staff reporting on perceived knowledge and skills to carry out Program Cycle-related processes. At USAID/W an increase in perceived knowledge and skills related to Evaluation and GCC was associated with having read corresponding guidance; however, this did not hold true for CDCS, Project Design or GEFE. With a few exceptions, regardless of whether or not they had read the guidance or been trained, the percentage of staff who agreed (as opposed to strongly agreed) that they understood their role or had the knowledge and skills to do their work remained similar. For example, 59% of Mission staff who read the CDCS guidance agreed that they understood their role, and 62% of those who had not read the guidance also agreed that they understood their role (see **Exhibit 18**).

**Exhibit 18: Mission Staff agreement with understanding their role under the Program Cycle (disaggregated by staff who have read/who have not read the documents)**



CDCS: read n=569, did not read n=86; Project Design: read n=501, did not read n=44; Evaluation: read n=508, did not read n=40; GEFE Policy: read n=506, did not read n=208; GCC Strategy: read n=219, did not read n=163.

**Exhibit 19: USAID/W Staff agreement with understanding their role under the Program Cycle (disaggregated by staff who have read/who have not read the documents)**

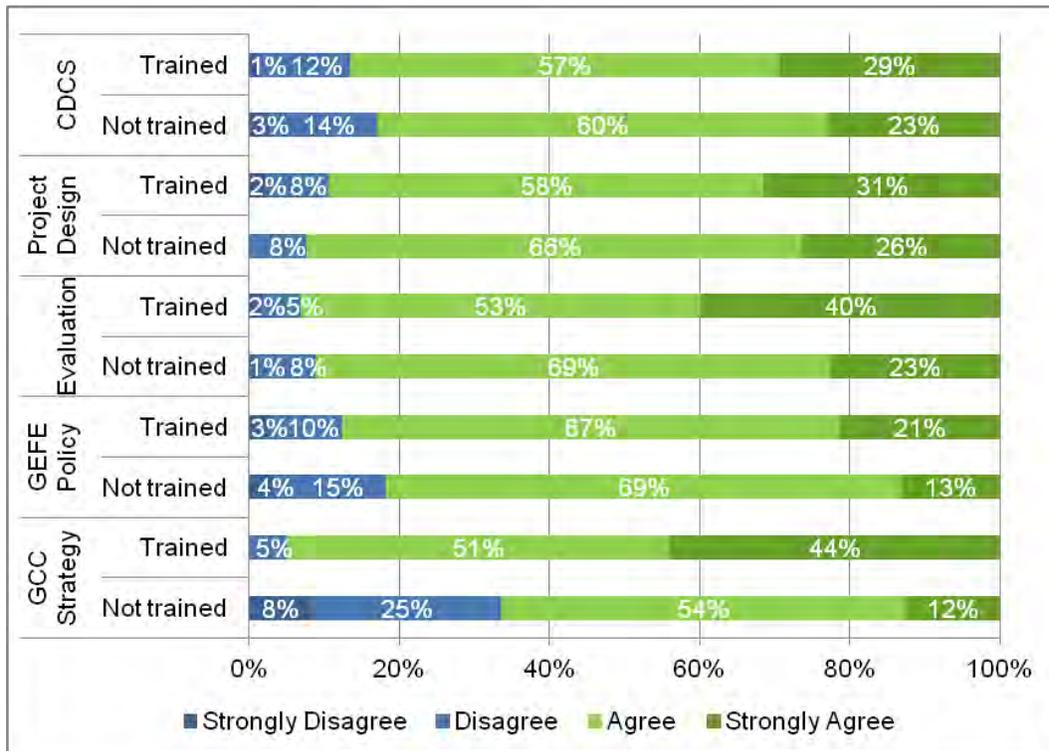


CDCS: read n=201, did not read n=18; Project Design: read n=124, did not read n=6; Evaluation: read n=207, did not read n=27; GEFE Policy: read n=218, did not read n=97; GCC Strategy: read n=106, did not read n=85.

**The association between training and understanding one's role varies.** Similar to the reading of Program Cycle guidance and policies, staff agreed that they understood their role whether or not they had taken a relevant training.

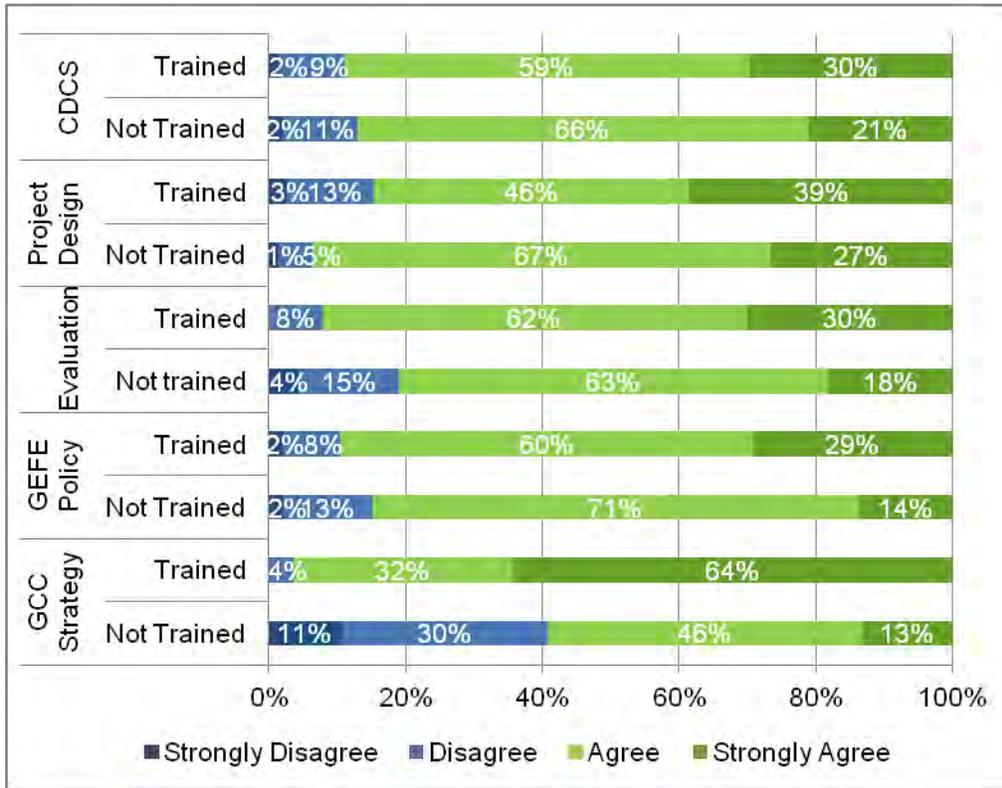
Among those receiving training, certain training and workshops stood out as significant for increasing staff understanding of their Program Cycle role and perceived knowledge and skills to do their work (see **Exhibit 20** for Mission staff and **Exhibit 21** for USAID/W staff). Mission staff who attended a CDCS workshop were significantly more likely to strongly agree that they understood their role in the CDCS, though this did not hold true for their perception of having the knowledge and skills to do their work related to the CDCS. Attendance at the Evaluation for Evaluation Specialists training was associated with a significant increase in both USAID/W and Mission staff agreement that they understood their role in evaluation and had the knowledge and skills to implement evaluations under the new policy. However, for both USAID/W and Mission staff, attendance at the Project Design and Management (PDM) course was not associated with stating one understood one’s role or had the knowledge and skills related to Project Design, and the same was true for Mission staff for the Project Design workshop. For both Missions and USAID/W staff gender and climate change training was associated with a significant increase in understanding of role, and perceived knowledge and skills in those areas. (See **Appendix 7, Exhibit 40, page 122** for participation in the full set of Program Cycle-related trainings).

**Exhibit 20: Mission Staff understanding of role under the Program Cycle (disaggregated by staff who have/have not received training)**



CDCS: trained n=306, not trained n=188; Project Design: trained n=229, not trained n=156; Evaluation: trained n=118, not trained n=249; GEFE Policy: trained n=155, not trained n=343; GCC Strategy: trained n=59, not trained n=218.

**Exhibit 21: USAID/W Staff understanding of role under the Program Cycle (disaggregated by staff who have/have not received relevant training)**



CDCS: trained n=64, not trained n=147; Project Design: trained n=39, not trained n=79; Evaluation: trained n=63, not trained n=137; GEFE Policy: trained n=48, not trained n=239; GCC Strategy: trained n=28, not trained n=142.

## 4.2 EXPERIENCE IMPLEMENTING PROGRAM CYCLE COMPONENTS

This section compares the concept of the Program Cycle with the practice of implementing its components. Findings are triangulated from interviews, group discussion, the Program Cycle online survey, and document review of CDCS documents, PADs and Evaluation SOWs. **Exhibit 22** presents an overview of the key findings related to the implementation of the Program Cycle components. It is important to note that the Project Design guidance was released 15 months after the CDCS guidance and nearly a year after the Evaluation Policy.

## Exhibit 22: Key Findings on Implementation of Program Cycle Components

### Key Findings on Implementation of Program Cycle Components

#### CDCS:

- There is a widespread perception that the CDCS process has led to programmatic improvements, but implementation of the process has been uneven.
- There is frustration and confusion with the misalignment between the CDCS's systematic approach to strategy, the need to prioritize Presidential Initiatives over that process, and the many complex guidance documents.
- There is impatience with the lengthy USAID/W feedback process.

#### Project Design:

- There is significant agreement that Project Design serves as a valuable management tool but (particularly among FSOs) the process does not simplify the Mission's work or support the procurement process. There is general dissatisfaction with the time and resource burden.

#### Evaluation:

- A large majority of staff feel the Evaluation Policy has contributed to improved evaluation rigor, quality, and usefulness, and increased the number of evaluations conducted. Evaluation has become a central priority for Missions, but quality and utilization of evaluation findings to inform programs and budgets remain an issue.

#### Learning & Adapting:

- More work needs to be done to integrate learning into Agency culture, but there is strong agreement that the Program Cycle has helped Missions learn from past experiences and encouraged internal collaboration, sharing knowledge, learning, and adapting.

#### Agency Policies & Strategies:

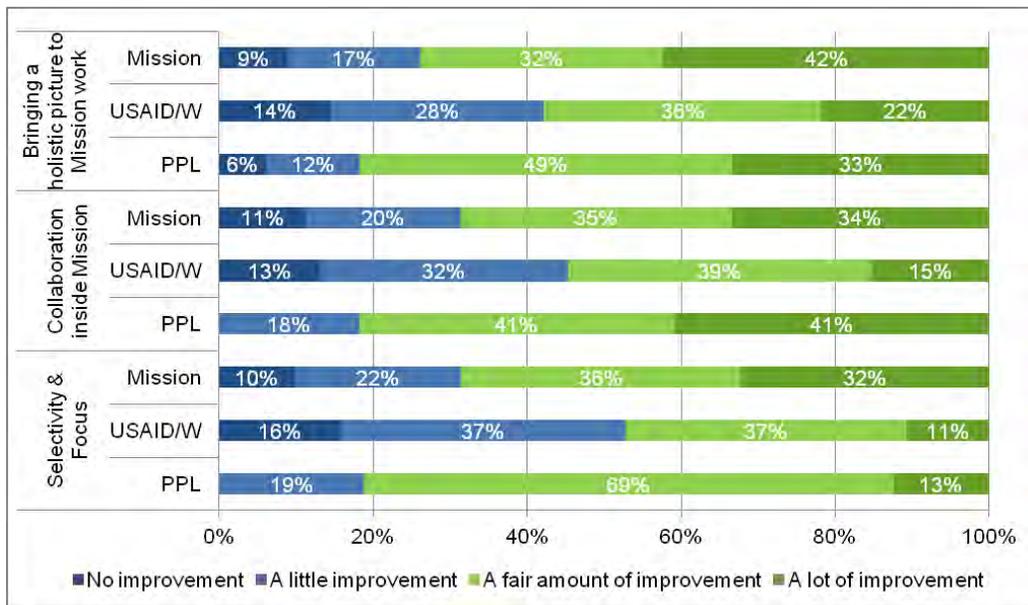
- Exposure to and understanding of various policies and strategies varies widely; there is greater awareness of the GEFE Policy than the CCD Strategy. Implementation of new policies is hindered by a perception that the policies are too broad and difficult to align with ongoing work, and that there is a lack of training for staff.

### 4.2.1 CDCS

**Overall, staff across the Agency involved in the CDCS process perceives it to improve USAID's selectivity and focus, help collaboration inside the Mission, and bring a holistic picture to Mission work. Exhibit 23** presents the survey data on contributions of the CDCS. Across the Agency, a majority felt a fair or great improvement had been made related to selectivity and focus of USAID's work, and a more holistic vision, with those at Mission level and PPL seeing more improvement than those at USAID/W.

*The CDCS process was the first time ever we started building and understanding of the entire Mission – how education tied to economic development and social aspects of the country... This came out of CDCS development process. Everyone saw the linkages. (Mission Program Office)*

**Exhibit 23: The CDCS has improved work at USAID**



N.B. Respondents were those who felt they could respond. This includes Selectivity: Mission n=478, USAID/W n=159, PPL n=32; Collaboration: Mission n=565, USAID/W n=137, PPL n=22; Holistic: Mission n=574, USAID/W n=180, PPL n=33.

**The CDCS anchors USAID’s work.** Seventy-six percent (76%) of USAID/W staff reported referring to CDCS documents in their support to Missions, while 80% of staff in Missions with a CDCS reported that the CDCS has become a relevant and important part of the Mission’s day-to-day work. More than 40% of Front Office and Program Office staff strongly agreed that they refer to the CDCS in their ongoing work. No differences were found related to percentage of funding coming from Presidential Initiatives.

*We attempt to follow CDCS objectives – use them as guidance. At implementation level as we design our programs and at work plan level we orient the programs to achieve objectives. The CDCS is vision for us. (Mission FSO)*

**The disconnect between the CDCS and funding patterns is one of the primary causes of frustration around the Program Cycle.** Quantitative data showed that staff perceives CDCS priorities as aligned with funding levels and budget scenarios. Qualitative data and systematic review of CDCS further explain that CDCS documents have been written to reflect budget realities. Given the weight of Presidential Initiatives within USAID funding, Mission staff have felt frustrated because the CDCS guidance gives the impression that the CDCS focus should be defined by evidence and consultation, while in practice it is defined by Presidential Initiatives and other funding priorities:

*I don’t see these strategies, why spend a whole lot, when it is just juice with squeeze. I saw the CDCS as checking the box. We have Presidential Initiatives and they supersede anything else we do here. If it fits the CDCS, fine, if not...we were on a video teleconference recently to discuss energy and no one asked us if energy was in the CDCS. (Mission Front Office)*

*The real question is whether those Initiatives and earmarks align with what is most needed to develop the country. (Regional Bureau)*

*If Mission Director and Ambassador can override the CDCS based on opportunity, how can we have some hard lines on what we do? Is it strategic and important? Why invest time in a CDCS when everyone knows that with the slightest pressure we’ll break it. The Government knows it and our partners know it. (Mission Technical Office)*

While Mission staff reported feeling that the CDCS guidance allows flexibility to the local context, they were less sure about how to amend the CDCS when there are changes in the local context or funding streams:

*I see a juxtaposition there. For the most part I think people view the CDCS in a positive way, but what has been lacking- is it [set] in stone or [a] living document that can be changed and modified? At what point do you introduce new programming to CDCS? (Mission FSO)*

**Input from USAID/W and Missions in the CDCS development and approval process is confusing and sometimes burdensome to Missions.** While survey data indicated that a high percentage of Mission staff (80% of FSOs and 96% of FSNs) feel that USAID/W input is important in the development of the CDCS, fewer felt they get timely feedback on their CDCS - the perceived difference between FSOs and FSNs is even greater (58% compared to 89%). Qualitative data indicate that Missions perceive that USAID/W is not “speaking with one voice,” resulting in conflicting advice and support to Missions.

*During the approval process, Washington was not speaking with one voice. We had a good draft, an almost final draft, and then we sent it to DC and it went through a whole process with special interest groups: “you don’t have enough water, environment, etc....” DC is this great, big beast with many heads. Who is my master in DC? Who exists for whom? (Mission FSO)*

*There are too many stakeholders in DC. When we were doing our CDCS, every Bureau had a comment. They often compete and they want to put in the kitchen sink, and a lot of Technical Bureaus... if their issue isn’t addressed, they ask why. I am sure this is frustrating at Mission level – they are asked to be focused, but everyone wants everything in. (Regional Bureau)*

**Review of 18 approved CDCS documents indicate overall good alignment with the CDCS Guidance.** A systematic, quantitative review of 18 country-level CDCSs created a quantitative scoring of adherence to guidance and found an average score of 80%, with three of eight categories achieving a threshold score of 80%. Categories rating highly overall included: 1) development context (95%); 2) results framework (89%); and 3) management requirements (85%). Management requirements and program resources and priorities were the categories with the most variation (see **Appendix 7, Exhibit 44, page 126** for total and sub-scores).

A majority of the CDCS documents reviewed had one or more category that scored low on adherence to the CDCS guidance. Only a few countries followed the recommended structure, and length varied from roughly 40 to 80 pages (plus Annexes); many CDCSs did not include one or more recommended chapters and/or sections. These CDCS documents did include, to a significant degree, reasonable, realistic achievable and measurable results. Some results did not completely flow from or appear informed by the analyses required to create the CDCS evidence base, and although serious challenges are acknowledged in the critical assumptions and risk sections, they often appeared ignored or discounted in the results.

The evaluation team found that the USAID’s CDCS review process was not structured systematically. While LER had a tool for the review of results framework narratives in the CDCS, no other office in PPL or in the concerned Regional and Pillar Bureaus used any tool in its review process to reinforce consistency in CDCS quality overall, or any of the individual products required in the CDCS.

#### **4.2.2 PROJECT DESIGN**

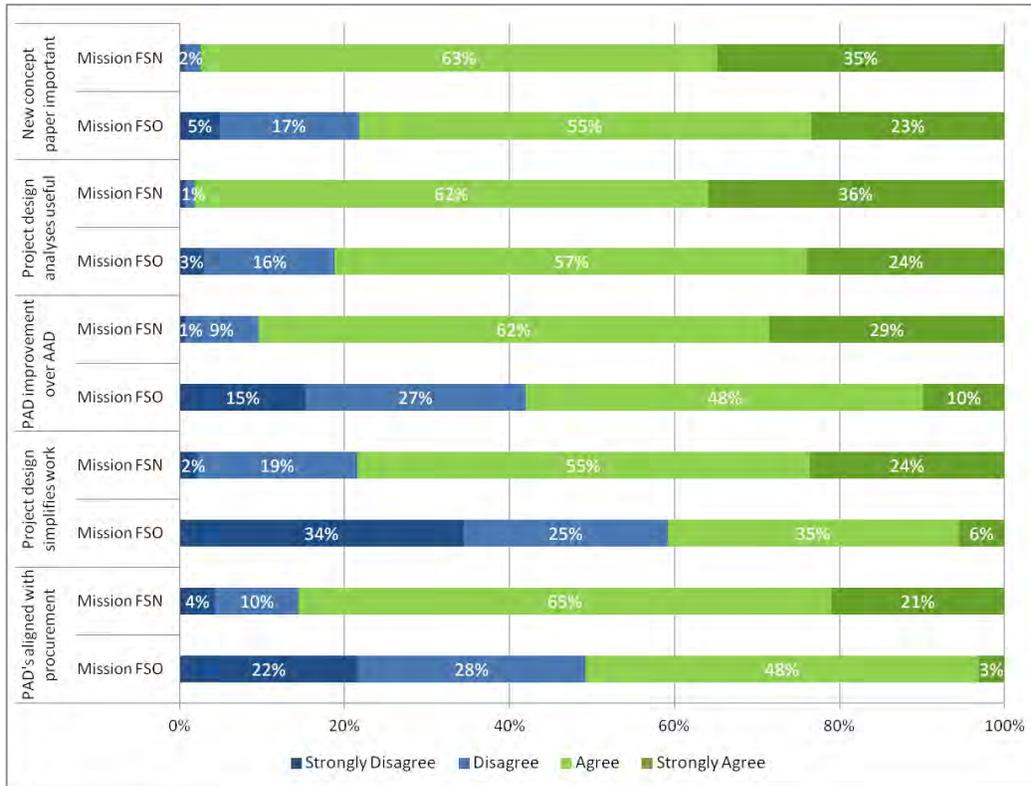
**Project Design is valued across Mission Program, Technical, and Front Offices.** Overall, a majority of Mission staff agreed/strongly agreed that the Project Design process adds value to the way they do their work, as illustrated in **Exhibit 24**. The majority of Mission staff indicated the PAD is a valuable management and project design tool, and that they see the PAD as an improvement over the Activity Appraisal document. Qualitative data indicated that staff believes

the Project Design process brings rigor and analysis and provides a holistic picture of the Mission’s work:

*The development of the full PAD had lots of struggles, lots of marathon meetings, and tensions. It is the best because of that. If everyone is just agreeing to whatever, the cream might not rise to the top. Through that struggle, they squeezed out the best. (Mission Program Office)*

*PADS are useful. We can see everything together. If you don’t have this, you don’t have the big picture. (Mission Program Office)*

**Exhibit 24: Mission staff perception of the project design process (among Mission staff having participated in Project Design)**



New concept paper important: Mission FSN: n=161, Mission FSO n=124; Project design analyses useful: Mission FSN n=164, Mission FSO n=138; PAD improvement over AAD: Mission FSN n=137, Mission FSO n=112; Project design simplifies work: Mission FSN n=144, Mission FSO n=125; PAD's aligned with procurement: Mission FSN n=138, Mission FSO n=130.

While **Exhibit 24** demonstrates a strong positive view, there is a considerable proportion of Mission FSOs who are not convinced of its contributions. More than half of Mission FSOs disagreed with the statement that Project Design simplifies their work or aligns with procurement.

*We are 100% committed to circumventing the Project Design process. If we were to do this, it’s the only thing we would do and nothing else. No one believes that the PAD improves development outcomes. (Mission Technical Office)*

**Mission staff finds the Project Design process unnecessarily time consuming and burdensome.** Although survey data demonstrated that Mission staff views Project Design as valuable (noted above), the qualitative data uncovered substantial challenges in implementing the Project Design Guidance. Interpretation of Project Design guidance appears inconsistent in the level of detail and presentation of the PADs, as seen in the analysis presented in **Exhibit 25**. Mission staff spoke of the time and energy Project Design and the PADs take:

*I am all for good strategic thinking and planning and in an ideal world, it wouldn't cost so much money and staff time, and in an ideal world conditions won't change by the time we get through. And a lot has changed since we got through PAD. (Mission Program Office)*

Qualitative data, especially from Mission Technical Office staff, indicate that the Project Design process takes human resources away from implementation and increases their workload, and that they lack the capacity to undertake many of the extensive analyses outlined in the guidance.

*To be honest this has led to a lot of work. Now a concept paper, review, the PAD, then SOW for procurement. We are working on one PAD for one year. That is a long time. (Mission Technical Office)*

*You have concept paper already which approves ideas, so why approve activities? You already have the CDCS. What we are seeing is people cutting and pasting the Results Framework from the CDCS into PADs because it is the same analysis from the Intermediate Results level. And then people try to staple in a bunch of activity designs. So you have this inconsistency that is happening. (Mission Support Office)*

#### Exhibit 25: Modest Assessment of Project Appraisal Documents

Because PADs do not require approval outside of the Mission, the evaluation team was only able to obtain six PADs from Missions visited during the evaluation. A review of these PADs indicates great variance in content, structure, analysis (depth and topics), length (18 – 168 pages), and integration of new policies and guidance. Each reviewed PAD contained the development problem and context, linkages with Government partner activities and sustainability. Most indicated linkage to the CDCS at the DO level, but did not include the development hypothesis. Some PADs included a full Request for Proposals for activities. There was no standard process by which the PAD documented the Project Design process, with some detailing correspondence (e.g. peer review emails) or listing reviewers at each phase of the process, while others included only a very brief synopsis of reviews. The depth of analysis in PADs also varied greatly with some including in-depth, stand-alone assessments of gender, cost-benefit, sustainability and biodiversity, while others provided an abbreviated synopsis of these areas. Most PADs just referenced pre-existing studies or Mission understanding, rather than conducting specific studies. Some PADs provided details on risk assessments, assumptions and exit strategy for each activity. Evaluation was addressed by each PAD, but not all PADs reflected the new Evaluation Policy. Some PADs covered USAID Forward issues and activities.

**Mission staff questions the value of all the analyses required for Project Design and how the PAD aligns with procurement timelines.** Some Mission staff questioned the value of completing all the detailed analyses required in the Project Design Guidance and fully developing the PAD when procurements are not being processed directly following the CDCS approval. Because of this delay, the PAD analysis will be outdated by the time the project is to be procured.

*There is too much emphasis on the quality of the PAD. It is a document that is already outdated by the time it goes to A&A, and then needs to be modified. So why do the PAD significantly in advance of when you need to procure? You are just creating more work. (Mission Program Office)*

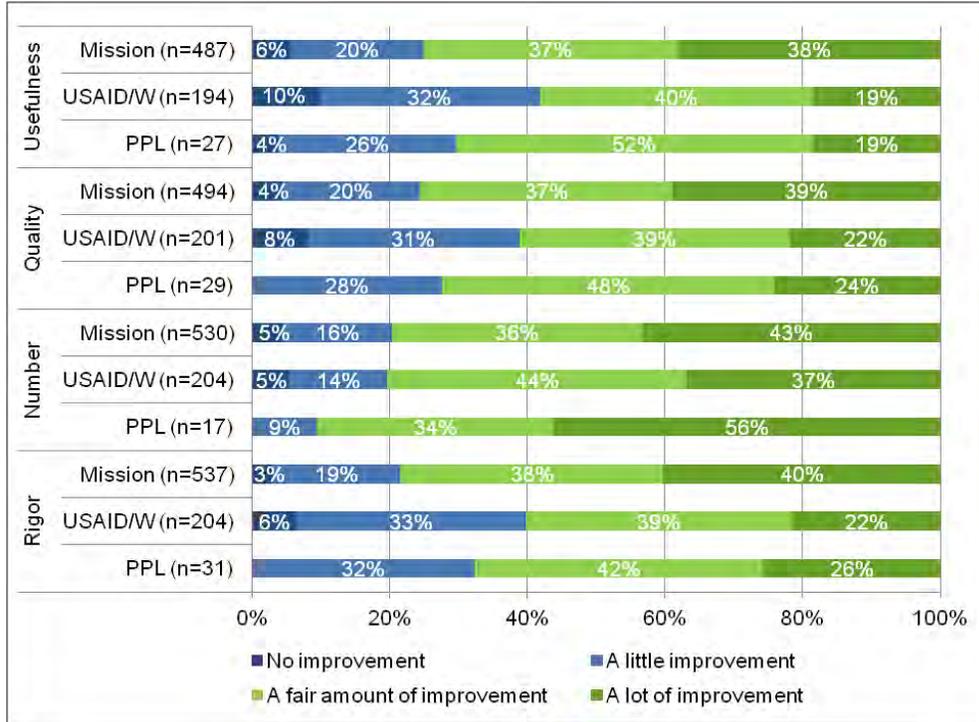
*There continues to be a mismatch between the more extended, analytical and deliberative process encouraged by the new guidance and the tight funding/procurement timelines, and limited staffing patterns available at most Missions I have supported in this process. (Pillar Bureau)*

### 4.2.3 EVALUATION

**Agency staff perceives the Evaluation Policy as having improved the rigor, quality, and usefulness of evaluation in the Agency.** Survey data indicated that a large majority of staff at Missions, USAID/W and PPL feel the Evaluation Policy has contributed to improvement of evaluation rigor, quality, usefulness and the number of evaluations conducted. (**Exhibit 26**). No differences were seen by office in Missions, but within

USAID/W, Regional Bureau staff was less likely than Pillar Bureau staff to agree that the policy had contributed to improvements in rigor, quality, and usefulness.

**Exhibit 26: Extent to which the Evaluation Policy has improved evaluation at USAID**



**The Evaluation Policy has increased focus, organization, and collaboration around evaluation at Missions.** Qualitative data from the five Missions visited indicate that evaluation has become a central priority and they are undertaking a variety of evaluation-related activities. Four of the five countries visited reported improved collaboration around various aspects of evaluation. Missions have strengthened organization around evaluation, such as forming evaluation working groups and collaborating internally and externally on evaluation. There was also evidence of Missions working to harmonize M&E processes, reporting and systems.

**Staff perceives that the Evaluation Policy has increased the number of evaluations conducted.** Survey data showed that Agency staff across the board recognizes the role of the Policy in increasing the number of evaluations conducted. These quantitative data were corroborated by the qualitative data where Mission staff reported that Missions are setting aside funds for evaluation and staff is focused on increasing the quantity of evaluations.

*Impressed with the number of people that are taking it seriously and call us for assistance, "If we do this, will this comply with the new Policy?" The Policy also helps us justify why they should be doing evaluation. (Pillar Bureau)*

*We have stepped up evaluation work...some quality issues are still there...but it has momentum. (Mission Director)*

*The good thing with this new Policy...the Mission really strategized about it and set targets for conducting evaluation and there is funding behind it. The goal is to have 3% of the budget dedicated, and this shows commitment. (Mission M&E staff)*

**Several challenges exist to using evaluation results.** Despite Agency staff's overall positive perception of the Evaluation Policy, qualitative data highlighted several issues with evaluation: low evaluation quality, disconnect between evaluation activities and project design and implementation, and a perception that evaluation results are not informing

funding streams. The push to meet the USAID Forward requirements is perceived as compromising quality:

*The Policy imposed more obligations. You have to do evaluations at a certain time of year and [there is] a certain number of evaluations to complete in a year.... The rigid requirement is to have evaluations by end of year; it was the worst time. This is the reason why the results were not that good. (Mission Technical Office)*

**Review of 30 Evaluation SOWs from 2010-2012 indicate overall poor alignment with the Evaluation Policy guidelines.** The evaluation team reviewed 30 Evaluation SOWs (10 before and 20 after the Evaluation Policy was issued) to assess alignment with the Evaluation Policy. Overall, no increase in quality was found since the Evaluation Policy was released. Average scores were 46% in 2010, 30% in 2011, and 46% in 2012. This drop in 2011 aligns with the USAID Forward push to produce 250 evaluations by 2012. See **Appendix 7, Exhibits 45-47**, starting on **page 127** for a summary of scores and sub-scores

Highest-ranking criteria were:

- Adequate description of the intervention being evaluated
- Specification of evaluation deliverables
- Evaluator expertise

Lowest ranking criteria included:

- Budget information
- Specifying existing information sources

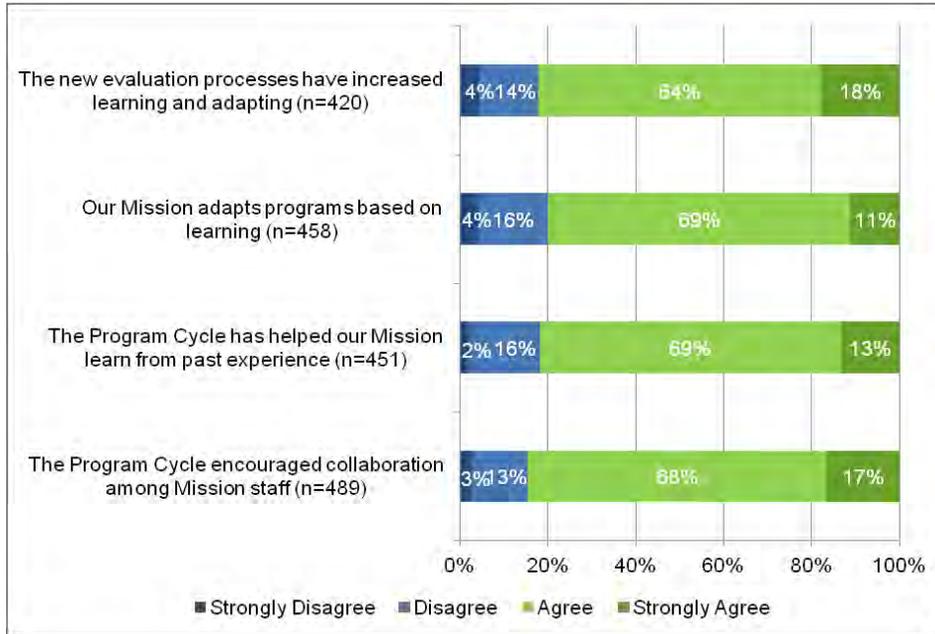
The majority of SOWs included specific evaluation questions which were consistent and supportive of the evaluation purpose. However, fewer than 10 limited the number of questions to a reasonable scope and only two prioritized the questions. Specific positions and/or skill sets required of the evaluation team were included in most SOWs, such as one or more evaluation specialist or one country national (meeting the minimum requirement for local capacity building in TIPS criteria), but very few SOWs advanced beyond this.

Relatively few Evaluation SOWs described the intended audience for the proposed evaluation - they only stated that it would be used by USAID - and overall included minimal language on the development hypothesis and the nature of the evaluation. The interventions were often only described at a high level and none contained language about critical assumptions. Very few SOWs included language about ensuring evaluation report quality or sharing the evaluation design with partners before finalization, although this improved somewhat in the 2012 SOWs.

#### **4.2.4 LEARNING AND ADAPTING**

**A strong majority of Mission staff perceives that the Program Cycle is increasing learning and adapting.** While the Program Cycle Learning Guide (draft) was only issued in July 2012, and only 29% of Mission staff has looked at it, the concept of learning is already disseminated. A strong majority of Mission staff concurred that the Program Cycle has helped Missions learn from past experiences, that Missions are adapting programs based on learning, and they agreed that the Program Cycle has encouraged internal collaboration, sharing knowledge, learning, and adapting (**Exhibit 27**). These findings hold across Offices, although staff in Procurement and Financial Management Offices had less knowledge on whether their Mission adapts programs based on learning.

**Exhibit 27: Mission perspective of learning and adapting**



**Learning is not yet systematized across the Agency.** Qualitative data indicate that many staff members perceive that more work needs to be done to foster greater learning since the Agency lacks a viable and centralized means of sharing knowledge and best practices.

*We need to keep information in a way that people can access; use technology. But the question is: who is the repository and how to keep it alive? It is currently very piecemeal, and we do things over and over again, and repeat some of the same mistakes. (Mission Front Office)*

*Especially this learning component, that's just sending your stuff to DC... I've never seen anyone take an evaluation and relook at the award and see how that award needs to be retooled based on the evaluation results. (Mission Support Office)*

Staff cited several challenges for learning across the Agency including lack of time for and knowledge of effective implementation of a learning agenda, as well as the overwhelming issuance of new guidance and policies that has left little time for learning.

*We are a learning-heavy office so we're doing much of that already. Actually I think recently we've been doing less learning and adopting because we're so caught up in new policies and operating modalities. (Pillar Bureau)*

*Learning and adapting is all great, but like so much else, the big question is: where is the money? And secondarily, where are the staff and where is the time? Another unfunded mandate and another "extra" activity for people. (Mission Front Office)*

**4.2.5 POLICIES AND STRATEGIES (VIEWED THROUGH GEFE AND GCC)**

**Exposure to the different PPL-issued policies and strategies varies widely.** However, with the exception of the Evaluation Policy, the GEFE policy is among the most "looked at/read," with 60% of Agency staff reporting at least having "taken a look at" the GEFE policy. In contrast, only 31% of Mission staff and 34% of USAID/W staff reported having looked at the GCC strategy, and other policies and strategies have similar exposure (see **Appendix 7, Exhibits 41 and 42**, starting on **page 123**).

**A number of challenges impede implementation of USAID policies and strategies.** From the qualitative data, Mission staff reported finding the new policies and strategies overly general and theoretical, and thus difficult to apply to local context and needs. Mission staff reports that

the prolific dissemination of new policies and strategies has been overwhelming and they are unsure how to prioritize, integrate and harmonize them with existing policies and systems.

*When policies come out, PPL needs to think about what the policy means to us. For example, if you're an EXO, what does the policy mean to you? If you want people to read it and be invested, they need to know what it means to them. (Mission FSO)*

*USAID is burdened by a series of initiatives, priorities, policies, strategies, etc., yet they are not coherently or consistently applied, particularly by the 6th floor. And the notion that we are focusing and concentrating with the proliferation of Washington-based priorities is just plain laughable. (Regional Bureau)*

### **GEFE Policy is generally appreciated, but challenges exist in terms of implementation.**

USAID staff across the board perceived that the GEFE Policy has high Agency support, and Mission staff reported appreciation for the guidance and support the Policy provides. However, country visits showed significant challenges in operationalizing the Policy, as reported by Gender Advisors. Gender training reach is still limited with only 25% of Mission and 14% of USAID/W staff having received gender training. Agency staff feels that the needed cultural shift has not yet taken place, and many at USAID still see gender as an afterthought, rather than fully integrated into the Agency's mindset.

*The GEFE Policy is still greatly hampered by a lack of meaningful awareness of the potential impact of gender issues on project and Agency goals. Although improving, gender is still a box-checking activity for many people, both men and women, although particularly men. As long as this mentality stays the same, it will be difficult to change development outcomes. (Pillar Bureau)*

*The policies are only useful if they are used. In my experience, even with gender technical assistance and assessments being done, the results are often not incorporated in a meaningful way in design or implementation of projects. Basically there isn't any "enforcement." (Pillar Bureau)*

**The GCC Strategy has increased attention to climate change in some Offices, but is not institutionalized.** The GCC Strategy has brought an increased focus on Climate Change in USAID, including integration of climate-focused monitoring and evaluation into new projects and focal points. However, capacity to implement the GCC Strategy has been challenging. Only 11% of Mission staff and 9% of USAID/W staff have participated in a GCC training; the Strategy is perceived as unclear and broad, and is thereby often interpreted differently among Mission staff. Some Missions have found implementation of the GCC strategy complicated because the Strategy, Policy, and Sustainable Landscapes Strategy have been subdivided into different results frameworks. Mission staff in Offices that do not receive Global Climate Change Initiative funds tend not to integrate the GCC strategy into their projects.

*After GCC we had to review how projects were reporting on performance and their mandatory indicators. We got into the habit of asking for climate change considerations in new projects and how they are going to address that. (Mission Technical Office)*

*We took training and read it, but I don't think the other Offices have because they are not targeted for GCC Initiative funds; they don't get that funding. Putting a strategy or policy guide is not an end by itself, it has to be institutionalized and internalized; the buy-in has to be there. But the guidance is optional? Technical Offices say if we don't get GCC Initiative funds, then it is none of their business. There has to be a closer follow-up for institutionalization. (Mission Technical Office)*

## **5 PROGRAM CYCLE SUPPORT FOR MISSION IMPLEMENTATION OF THE PROGRAM CYCLE**

This section presents findings on internal, Regional and Pillar Bureau, and PPL support for Mission implementation of the Program Cycle, drawing on interviews, group discussions, Program Cycle online survey questions regarding Missions' sources of support for Program

Cycle components, and the usefulness of training for Mission and USAID/W staff. **Exhibit 28** presents an overview of the key findings in this section.

### **Exhibit 28: Key Findings on Support for Mission Implementation of the Program Cycle**

#### Key Findings on Support for Mission Implementation of the Program Cycle

- Mission staff turns first to others inside the Mission before turning to the ADS for support on Program Cycle implementation.
- A lack of coordination between PPL and Regional and Pillar Bureaus is perceived based on often conflicting messages, and input that is not always timely.
- PPL is not among the sources Missions most often turned to for assistance on the Program Cycle. PPL guidance is generally seen as useful. The most appreciated PPL support is in-person training at Missions and PPL.
- Many staff members are unaware of ProgramNet and it remains underutilized.

## **5.1 INTERNAL MISSION SUPPORT**

**Missions first and foremost seek assistance for Program Cycle implementation from within the Mission:** Quantitative and qualitative data indicate that Mission staff is most likely to seek support from inside the Mission. **Exhibit 29** shows the sources of assistance for those who sought help for the various Program Cycle components. The Mission Program Office was the primary source of support across all Mission offices and all Program Cycle components, as can be seen by the blue (or dark grey) colored boxes almost always having the top slot in the table. For those with questions on CDCS, Project Design or Evaluation, 86–100% sought answers at the Mission’s Program Office. The ADS (green or medium grey boxes) is the second most used source of assistance for answering questions, with 49-91%. A full set of sources is available in **Appendix 7, Exhibit 48**, starting on **page 130**.

## **5.2 SUPPORT FROM REGIONAL AND PILLAR BUREAUS**

**Regional and Pillar Bureau support is sought, but is generally not the first place Missions go to.** While **Exhibit 29** indicates that Regional and Pillar Bureaus are sources of support for answering questions, fewer Mission staff seek their assistance than within the Mission itself. With the exception of Mission Front Office, the percentages seeking assistance from Regional or Pillar Bureaus are less than 50%. It should be noted that Regional Bureau staff was more likely than Pillar Bureau staff to have report supporting Missions with the CDCS, Project Design and Evaluation.

**Regional and Pillar Bureau staff report a lack of coordination and involvement with the Program Cycle which makes their support to the process more difficult.** Mission, Bureau, and PPL staff perceived a lack of coordination among Regional and Pillar Bureaus and between Regional and Pillar Bureaus and PPL, which often results in conflicting messages. This is compounded by Regional and Pillar Bureaus feeling left out of the Program Cycle process. Some Mission staff involved directly in CDCS development felt that their Bureaus were engaged too late in the process to provide meaningful input.

**Exhibit 29: Sources of assistance sought by Mission Offices on Program Cycle components**

The top four sources of assistance are listed by office for each of the Program Cycle components analyzed. The percentage of staff who sought support from each source is listed by office and Program Cycle component.

<b>CDCS</b>				
<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>FM</b>
Mission Program Office (97%)	Mission Program Office (92%)	Mission Program Office (86%)	Mission Program Office (69%)	Mission Program Office (69%)
PPL (91%)	ADS (66%)	Mission Front Office (49%)	ADS (61%)	ADS (49%)
Regional Bureau (90%)	Mission Front Office (67%)	ADS (45%)	Mission Front Office (46%)	Mission Front Office (45%)
ADS(82%)	PPL (60%)	Technical/Pillar Bureaus (36%)	General Council (20%)	PPL (17%)
<b>PROJECT DESIGN</b>				
<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>FM</b>
Mission Program Office (100%)	Mission Program Office (96%)	Mission Program Office (93%)	Mission Program Office (89%)	Mission Program Office (96%)
Technical/Pillar Bureaus (89%)	ADS (91%)	ADS (63%)	ADS (71%)	ADS (74%)
Regional Bureau (81%)	PPL (67%)	Mission Front Office (47%)	Mission Front Office (59%)	Mission Front Office (58%)
PPL (79%)	ProgramNet (59%)	Technical/Pillar Bureaus (41%)	PPL (13%)	PPL (29%)
<b>EVALUATION</b>				
<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>FM</b>
Mission Program Office (100%)	Mission Program Office (93%)	Mission Program Office (94%)	Mission Program Office (85%)	Mission Program Office (86%)
ADS (86%)	ADS (80%)	ADS (62%)	ADS (74%)	ADS (83%)
Mission Front Office (74%)	PPL (68%)	Technical/Pillar Bureaus (48%)	Mission Front Office (18%)	Mission Front Office (62%)
PPL (69%)	ProgramNet (55%)	Regional Bureau (31%)	PPL (14%)	Regional Bureau (47%)

**Legend**

ADS	General Council	Mission Front Office	Mission Program Office	PPL	ProgramNet	Regional Bureaus	Technical/Pillar Bureaus
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*The CDCS process does not appropriately or effectively include USAID/W technical input. By the time Offices are asked to comment on the CDCS, the Mission has spent a great deal of time and comments tend to be far too late to be helpful.... Comments should be early, not after there is an advanced draft when comments take on the feel of unwanted criticism and USAID/W second-guessing the field based on incomplete knowledge or political mandates uninformed by local realities. (Pillar Bureau)*

*Everything has been focused at Mission perspective and Mission design processes. USAID/W has programs as well and these Pillar and Regional Bureaus have been left aside to date. So what PPL has designed and put forth is a field process. But in USAID/W, how do our programs fall into and correlate to that? (Other Bureau)*

### 5.3 SUPPORT FROM PPL

PPL provides support to the Program Cycle through a number of channels: the guidance itself, PPL training workshops, ProgramNet, How-to Notes and tailored technical assistance.

#### **Mission and USAID/W staff is divided on finding the Program Cycle guidance useful.**

While a majority of Mission and USAID/W staff rated the various guidance documents as “useful” or “very useful,” the margin was slim, especially at USAID/W: 54% for CDCS; 51% for Project Design, 56% for Evaluation, 60% for GEFE, and 56% for GCC. Significant differences were seen between FSOs and FSNs related to usefulness of guidance and policies, with FSNs much more positive. However, 67% of FSOs found the CDCS guidance useful or very useful, 57% for Project Design, 61% for Evaluation, only 38% for GEFE, and 47% for GCC.

**Missions find in-person support from PPL helpful.** Qualitative data highlighted the appreciation that Mission staff feels when they are able to interact directly with PPL, especially when PPL comes to the field. This allows for clarification of the guidance, helps Missions ensure alignment to the guidance, and provides a space to have meaningful dialogue with PPL staff.

*In prep for first PAD, the Program Office worked with PPL to bring in an intensive 3 day PD workshop. For me it was wonderful. We didn't know how to do PAD, and process...we didn't know where to begin.... But once we took PD workshop (regular, not advanced)...two people from PPL spent 3 days to get us up to speed. 3 days was perfect. They used Mission case studies from our Mission – so our first PAD was a case study. They walked us through step-by-step how do you do this. After the workshop – we decided to start from scratch and follow their process and it dramatically improved...not just process, but we have a product that is much different than we otherwise would have had. (Mission Technical Office)*

PPL is not always the first source, but remains an important source for answering questions for the Mission Front and Program Offices. **Exhibit 29** shows PPL was often the third or fourth most frequent source of support for the CDCS, Project Design and Evaluation, but not for GEFE and GCC.

**PPL training workshops are appreciated.** As shown in **Exhibit 30**, a strong majority of Mission and USAID/W staff found the PPL-led training useful or very useful.

#### **Exhibit 30: Perceptions of Usefulness among PPL-led workshops and training**

% rating useful or very useful	CDCS Workshop	Project Design Workshop	Advanced Project Design	Evaluation for Program Managers	Evaluation for Evaluation Specialists
Mission	81% (175)	81% (91)	83% (93)	85% (105)	91% (96)
USAID/W	--	--	55% (20)	77% (51)	82% (45)

**The concept of ProgramNet is appreciated, but it remains underutilized.** The existence of ProgramNet remains unknown to a large minority of Agency staff (45% of Mission staff and 39% of USAID/W). Another 31% of Mission staff and 27% of USAID/W staff are aware of the

platform, but have never accessed it. Qualitative data indicate that the concept of a Program Cycle sharing and learning platform is valued, but it is not yet serving the field's needs.

*ProgramNet is definitely a good one-stop shopping portal to go to. Just a question of time and knowing what is out there. (Regional Bureau)*

*As a newcomer to the Program Office, I find things to be very complicated. If there were a website that gave a diagrammed description of how things get approved, deadlines, acronyms. It would be nice to have a primer that I could click on. (Mission Program Office)*

*[For the] PAD process – you are on your own...if you look on ProgramNet – there are no examples of PADs...just a lot of questions that are not being answered well. (Mission Technical Office)*

In Missions, Program Office staff is significantly more likely to access ProgramNet than any other staff, and about half of those that sought assistance accessed ProgramNet for CDCS, Project Design, and Evaluation (**Exhibit 29**). ProgramNet is less used in support of policies and strategies. Qualitative data show that some staff could not access the site due to logon and password difficulties and others spoke about needing information on the site.

**PPL's other supports are accessed less.** Only a minority of Agency staff has accessed PPL How-To or Technical Notes (17% of Mission staff and 12% of USAID/W staff) or webinars on Program Cycle topics (15% of both Mission and USAID/W staff). However, it is worth noting that these are relatively new resources.

## 6 PPL INTERNAL ENABLERS AND CONSTRAINTS TO EFFECTIVE PROGRAM CYCLE SUPPORT

This section presents findings from interviews, group discussions, and the PPL online survey questions about the extent to which factors enable and constrain their efforts to support implementation of the Program Cycle, both internal and external to the Bureau. **Exhibit 31** presents an overview of enabler and constraint findings. PPL responses echoed those of many USAID/W and Mission staff (see **Exhibit 32** for external perceptions of PPL).

**Exhibit 31: Key Findings: PPL Internal Enablers and Constraints to Effective Support for the Program Cycle**

	Enabling Factors	Constraining Factors
<b>Leadership</b>	Clear and consistent direction on role	Too many priorities and lack of focus
	Administrator's commitment to evaluation	Lack of champion for Program Design
		Lack of communication on priorities
<b>Missions, Offices, and Bureaus</b>	Responsiveness, interest and buy-in of these stakeholders	No standards of accountability for Mission leadership on Program Cycle
	Sense of teamwork with Regional Bureaus	Lack of engagement with Pillar Bureaus
<b>PPL</b>	Internal communication and collaboration	Silos that prevent better integration of effort
	Consensus and commitment to the Program Cycle	Perceived as being out of touch with Missions
	Talented and dedicated team	
<b>ProgramNet</b>	Accessible knowledge management platform	Not yet fully functional

**PPL and Agency leadership have been critical to PPL staff's development of and support to the Program Cycle.** The clear direction provided to PPL by Agency leadership on the role of PPL regarding the Program Cycle process, and the fact that PPL leadership understands, and consistently follows and supports that direction has enabled the Bureau's work. However, PPL would like to see its leadership be more proactive in identifying trade-offs (i.e. cannot do everything now) so that the Program Cycle implementation remains a top priority.

*PPL's strong and capable staff and excellent Bureau leadership enable support for implementation of the Program Cycle. (PPL staff)*

Staff also appreciated Agency Front Office's leadership and communication about the Program Cycle and Administrator Shah's recognition of Program Offices' role in Program Cycle implementation, and his championing of evaluation. Increased visibility of evaluation was also viewed as an enabler, especially with his push to complete a large number of evaluations. However, the Administrator's lack of attention for Project Design was seen as a constraint in dealing with resistance to Project Design.

**Multiple and changing PPL Bureau priorities constrain Program Cycle Implementation.**

Several PPL staff commented on the need for honest communication about the priorities of the Bureau (even if temporary). They see a need for stronger decision-making and appropriate resource allocation. Staff remarked that they are not always sure of PPL's priorities, and pleaded for greater focus and fewer priorities so they could concentrate their limited resources on the highest priorities for the Agency. The "obsession with initiatives and new policies" is making the situation untenable and "something has to give." PPL staff would like to see more explicit integration of Initiatives into the Program Cycle and the rest of USAID.

*Other Agency processes get in the way of producing the policies and priorities. (PPL staff)*

*PPL struggles the same way as the Program Office, they have the responsibility to harmonize, but not the authority, especially outside of USAID. (PPL staff)*

*How to reduce stress on overburdened staff with new policies and practices...temptation to keep adding, adding and*

**Exhibit 32: External perceptions of PPL**

Qualitative data collected from Mission, Regional and Pillar Bureau staff highlighted the important role PPL plays in USAID's work. Staff expressed an appreciation for PPL facilitating a return to a "discipline of development" through improved strategic planning, centralized policies and a move towards consolidated processes across Missions. Although there are instances in which some USAID staff perceive PPL staff as being patronizing and being smart but out of touch with field realities, PPL efforts are generally seen as supportive and helpful. USAID staff especially appreciates PPL's support in clarifying expectations and providing technical assistance to ensure high quality implementation of the Program Cycle. Staff sees a greater role for PPL going forward particularly in technical assistance, learning and knowledge management, and facilitating change associated with the Program Cycle.

*The establishment of PPL has been a benefit. What would we be like without PPL? It would be weak. We need the central policy-making function that we lacked when PPC dismantled. Yes we have done these things before, but they fell through the cracks, and PPL has brought us back. (Pillar Bureau)*

*I am just happy that PPL is back. Seems that there is a will to consolidate and have us be more consistent across Missions and reduce redundancy. (Mission Technical Office)*

*Overall the CDCS as an overview was very positive, and my opinion of PPL is also very positive. We were the second iteration. There was lots of points where things could have changed, but it didn't. We had good people in PPL to work with; they were supportive and they were clear on expectations. (Mission Program Office)*

*adding...streamlining exercise ended up still adding. (PPL staff)*

*One can make the following comment about nearly all the strategies issuing from Washington: almost none have any significant field input and it shows. (PPL staff)*

**Engagement with Missions, Program Offices and Regional and Pillar Bureaus enable PPL's efforts around the Program Cycle.** PPL staff appreciates the responsiveness and interest of other parts of USAID (especially around the Evaluation Policy), including their “buy-in” to the Program Cycle Process. Nonetheless, some PPL staff would like to see Mission leadership held more accountable for their overall responsibility for Program Cycle implementation. PPL staff also noted the sense of teamwork and coordination with Regional Bureaus, but some felt the need for more honest engagement with Missions and Regional Bureaus around needs in the area of Learning and Adapting. Engagement with Pillar Bureaus is also sometimes challenging.

*PPL is not very effective in engaging the Pillar Bureaus. They largely ignore them or try to issue guidance for them without acknowledging their role with Missions (as opposed to the Regional Bureaus). PPL has clear roles for the Regional Bureaus but not the Pillar Bureaus. (PPL staff)*

**Communication and Collaboration within PPL is both a key enabler and a constraint to Bureau's efforts to support the Program Cycle.** PPL staff finds the synchronized communication processes (once the Bureau was “up and running”), and inter-office collaboration (especially between SPP and LER) on Program Cycle implementation to be important in facilitating PPL's work around the Program Cycle. However, several PPL staff mentioned that the Bureau is “siloes” and would like to see more unified efforts and greater communication across all Offices on the Program Cycle, especially better integration and increased synergy with DE, Program and Policy Offices.

*There is a lot of aspiration, but not as much reality for cross-office interactions. (PPL staff)*

*We are all stewards of the Bureau's work. I think there is a lot of stove-piping in PPL and a lack of Bureau level cohesiveness that is undermining our success as we work with Missions, other bureaus, and independent offices. (PPL staff)*

**PPL staff capacity, commitment, and “smarts” enable PPL's mission and mandate.** PPL staff remarked on their colleagues' collegiality and “smarts,” and the consensus on and commitment to the Program Cycle. Some mentioned, however, that they would like to see more of a balance of staff across grade levels (i.e. junior, mid-level, senior staff).

*PPL has a very talented and dedicated team of people bringing many years of experience from different perspectives. (PPL staff)*

**ProgramNet has the potential to be an enabler for PPL's efforts, but needs improvement and increased outreach efforts.** PPL staff views ProgramNet as the only online platform for the Program Cycle which can support and enable PPL's work towards implementation. While important investments are currently being made to improve it, it is not yet fully functional as the place for Program Cycle knowledge. Additionally, it needs to be more fully populated with lessons learned, FAQs, and other tips to help Missions and USAID/W understand and be part of the Program Cycle.

## 7 PRIORITIES NEEDED TO INSTITUTIONALIZE THE PROGRAM CYCLE WITHIN USAID

Key findings for this section are summarized in Exhibit 33.

### Exhibit 33: Key Findings on Priorities Needed to Institutionalize the Program Cycle within USAID

Key Findings: Priorities Needed to Institutionalize the Program Cycle within USAID (as reported by respondents)

- Focus on staffing that supports Program Cycle implementation
- Make fewer policy changes, create a learning platform, and develop tools to assist implementation
- Reduce the constant need to absorb and implement a steady onslaught of new policies and guidance

The online survey data show that Mission, USAID/W, and PPL staff believes that the institutionalization of the Program Cycle is important for implementation (Missions), or supporting implementation (USAID/W, PPL) of the Program Cycle components. Agency staff ranked staffing patterns, Policies and Strategies, Program Cycle products, and Learning and Adapting high in importance, while training, especially virtual, ranked the lowest in importance.

Staffing patterns that support Program Cycle implementation was ranked as important by more than half of both Mission and USAID/W staff (both 68%), as well as PPL (66%). The majority of Mission (75%), PPL (66%), and USAID/W (64%) staff responded that it was important to have clearly defined roles for each Office.

Better Learning and Adapting across Missions and Bureaus was reported as important by a majority of Mission (71%), USAID/W (70%), and PPL (79%) staff, but fewer ranked “a centralized platform for Learning across Missions and Bureaus about specific programming” as important (56%, 52%, and 62%, respectively).

Both quantitative and qualitative data show that Mission and USAID/W staff believes that products including guidance summaries, templates for Mission Orders, case studies, and other practical documents that make the Program Cycle relevant to staff are important for institutionalization and “absorption.”

*If there are 12 new policies, there should be a 1-page set of what they all are and how it applies, and what we really need to know. We have for some, but you don't know about it. How about a checklist for Project Design? (Mission DLI)*

*We need templates for everything they could possibly ask for. (Mission FSO)*

*Policies need to be translated into case studies and something easy to understand. (Mission FSN)*

Training workshops were ranked less important overall than other institutionalization measures. Even so, more than half of Mission, USAID/W, and PPL staff reported training workshops, and How-To and Technical Notes as important. Less than half of all staff ranked online training, webinars, and TDY's (only asked of Missions) as important.

**The constant need to absorb and implement a steady onslaught of new policies and guidance is a barrier to institutionalization.** For implementation of Policies and Strategies, nearly three-quarters of Mission (75%), USAID/W (70%) and PPL (73%) staff reported that making fewer changes in guidance with more time between changes is “important” for institutionalization. PPL staff was most likely (86%) to rate alignment of Program Cycle-related policies with other guidance as important, compared with lower, but still high rates among

Mission (74%) and USAID/W (70%). The qualitative data substantiate these findings. Agency staff reported that they struggle to absorb all the guidance, policies and strategies that have been issued, and that this could be improved if the pace of dissemination slowed. As it is now, everything is a priority, and therefore nothing is.

*We have a prolific Administrator and I think, “everyday a new policy,” and “wow, we have to build things in.” But it becomes very overwhelming and you want to stop this insanity and focus on the core mandate: on programs. (Mission Technical Office)*

*The real challenge now will be trying to better sync the various stages of the Program Cycle. Progress toward this can only be made if we stop changing or adding guidance and let Missions focus on implementing existing guidance. (Regional Bureau)*

*We have PPL with guidance, but each Presidential Initiative owner has their own set way of how to do things. We had hoped that PPL could coordinate this. But this didn’t occur, so now Missions face multiple strategies. (Regional Bureau)*

## 8 CONCLUSIONS AND RECOMMENDATIONS

### 8.1 CONCLUSIONS

Overall, the concept of the Program Cycle has been well-received by USAID staff because it is seen to return the Agency to a rigorous, evidence-based, “discipline of development.” The components assessed during this evaluation – Policies and Strategies, CDCS, Project Design, Evaluation, and Learning and Adapting – are all appreciated and perceived as adding value to USAID’s work, although Missions struggle with Project Design processes. However, the issuance of Program Cycle guidance and that of Presidential Initiatives (both those that preceded and succeeded the Program Cycle) has resulted in overlap of efforts, dissonance of actions and confusion at Missions.

The “roll out” of Program Cycle policies and guidance appeared more focused on getting them out as fast as possible, with initially just demand-based support; the “roll out” seemed to lack an overall plan for introduction of those strategies, or strategy to facilitate their reception and use in Missions. PPL has adjusted its approaches over time based on learning and feedback, and has recently issued (post evaluation data collection) a number of new products and a revised ADS 201 (see **Exhibit 34**). Nevertheless, the lack of an articulated change management strategy has constrained the Agency, in general, and PPL, in particular, in their ability to elicit the desired Agency-wide behavior change: whole-hearted implementation and uptake of the Program Cycle guidance and strategies that would be necessary for the ultimate goal of improved development outcomes. In the absence of such an explicit strategy, the Program Cycle “roll out” was often perceived by Missions as ad-hoc, inefficient and redundant.

Staff across the Agency is struggling to have the human resources (i.e. sufficient staffing, skill

#### Exhibit 34: New PPL Products and ADS to facilitate Program Cycle implementation

**ADS 201 (July 2013):** Updated CDCS and Project Design sections to take into account learning from the previous 18 months of implementation (since the ADS 201 March 2012 version).

**Standardization project:** Issued Standard Mission Orders that provide Missions with standardized and therefore more efficient Program Cycle processes:

- *Strategy*
- *Project Design*
- *Evaluation*
- *Monitoring*
- *Budget*
- *Portfolio Review*

**Upgrades to ProgramNet:** ProgramNet is being revamped to become more user-friendly, easier to access, and easier to share information across USAID staff in Washington and the Missions.

capacity) necessary to effectively implement, execute, and integrate the new systems and procedures. Missions with a well-staffed Program Office, and overall staff and DLIs proportional to the size of the portfolio, appeared more able to access the necessary time and resources to pivot and adapt to the new paradigm required for uptake of the Program Cycle. Future Program Cycle guidance and requirements must consider what staffing levels are necessary for implementation.

An exceptionally high volume of new policies and guidance have been issued over the past three years from PPL and Agency Initiatives (Presidential or otherwise), and Mission staff is consumed with responding to different reporting requirements and other requests at the expense of implementing sound development practices. It is important for PPL and the Agency to acknowledge the impact that “rapid fire” issuance of new policies and guidance has on the ability of Agency staff to accomplish their tasks efficiently with existing human and financial resources.

## 8.2 RECOMMENDATIONS

The Program Cycle marks an important paradigm shift for the Agency, although many of its aspects may be familiar to some staff. Such a shift does not occur by simple promulgation of new guidance and policies, but requires articulation of what change is envisioned, what it encompasses, and why it is important to the Agency (i.e. what will happen if the change does not take place). Therefore, the recommendations that follow comprise a Program Cycle change management strategy which should assess existing staff capacity to make the change in the way they operationalize the discipline of development; identify existing resistance to change and actions to motivate for change; and determine measures for how the Agency will know that “improved development outcomes” (as the end goal of the Program Cycle) have been achieved.

A change management strategy will allow the Agency to maintain focus on Program Cycle institutionalization and implementation, while acknowledging and addressing the constraints and challenges Agency staff encounters along the way.

The following recommendations are organized around three themes related to a change management strategy:

1. Creating an environment for Program Cycle institutionalization,
2. Operationalizing Program Cycle guidance, and
3. Building capacity for implementation

### 8.2.1 CREATING AN ENVIRONMENT FOR PROGRAM CYCLE INSTITUTIONALIZATION

1. **Agency and PPL leadership should prioritize PPL staff’s focus on institutionalizing the Program Cycle.** Institutionalization of the Agency’s policy agenda requires continual integration into existing systems and procedures, sustained communication on the “why” of each step in the Program Cycle, and support for how implementation may occur in the Mission context.
2. **PPL and other Bureaus, with Agency leadership backing, should spearhead the effort to identify synergies between the Program Cycle and other guidance.** Frequent overlap of, and competition between, the Program Cycle and Presidential Initiative guidance has placed an additional burden on Missions’ strategy, project design and reporting efforts. For the Program Cycle to take hold, PPL with other Bureaus, should actively identify areas of harmony with existing Presidential Initiatives guidance (e.g. Global Health Initiative and Feed the Future). PPL and other Bureaus can identify where the Program Cycle adds value by creating one synchronized and integrated strategy process rather than competing systems. All revisions to existing guidance, and new guidance should be developed in

collaboration with PPL to ensure consistency with the Program Cycle.

3. **PPL, in consultation with other Bureaus, should strategically pace or spread out issuance of new policies and guidance (as well as versions of each).** The current pace of new policies and guidance cannot be sustained by Missions and has resulted in inefficient performance and low morale. The recent release of ADS 201 is a good example of building in a “pause period” during which PPL commits to not making any changes. Collecting feedback during this pause period can inform necessary revisions after the pause period has come to a close. This step provides a critical link between field implementation and Agency strategies and policies.
4. **PPL, in consultation with other Bureaus, should more clearly articulate roles and responsibilities in Program Cycle implementation and support to Missions.** While the new ADS 201 outlines some roles, it does not provide sufficient definition. There might be need for more clarity in distribution of roles during the continued “roll-out” period of Program Cycle implementation. PPL should clearly articulate its role to others in the Agency, clarifying its added value or comparative advantage.

### 8.2.2 OPERATIONALIZING THE GUIDANCE

With the latest revision of ADS 201, now is not an appropriate time to revise guidance and directives. The following recommendations highlight areas where the current ADS 201 could be strengthened in its next revision, and other factors to consider.

5. **PPL should advertise ADS 201 heavily to ensure all relevant and required information is widely accessed and understood.** Use webinars, e-TDYs and other mechanisms that allow discussion and dialogue with Mission staff to answer questions and address any resistance.
6. **PPL should monitor measures of success in implementation and change related to the Program Cycle.** Establish measures of success and regularly monitor and evaluate Agency staff perceptions and changes towards a “discipline of development,” implementation of Program Cycle components and uptake of systems and procedures, and support needed and received. Use the results to improve approaches accordingly.
7. **PPL and BRM should work with Agency leadership to provide Missions with ways to reconcile Program Cycle and Presidential Initiative budgetary and procurement procedures.** Continue to provide direction for how to align conflicting budgetary requirements, and the impact and influence of the Presidential Initiatives on the CDCS and PADs.

#### *Specific CDCS recommendations*

8. **In 2014, PPL should evaluate the effectiveness of CDCS’s strategic directions.** The review should include the full set of CDCSs, their implementation and perceptions of what would improve utility for Missions. PPL should adjust the CDCS guidance accordingly, including timing of revisions or renewals. Possible changes, based on evaluation findings, include:
  - a. Add a section on assessing results, achievements and lessons learned from CDCS implementation.
  - b. Consider a more explicit acknowledgement of the amount of discretionary funding in a Mission’s portfolio in their approach to the CDCS.

- c. Create a CDCS “quality review checklist” for Missions to ensure inclusion of all information required for a quality CDCS.
- d. Streamline USAID/W’s CDCS review, feedback, and approval process to ensure predictability, transparency, accountability and responsiveness. Clearly articulate the USAID/W CDCS review and approval process, purpose of the review, who manages the process, who provides input and how, and metrics for timing. Consider adapting the Joint Planning Cell review process.

### ***Specific Project Design Recommendations***

9. **PPL should evaluate the Project Design process in 2015 for alignment of Concept Papers and PADs with the guidance.** PPL should assess costs (e.g. human resources) for properly conducting Project Designs, what has been done well, and what modifications to the process have been implemented. This evaluation should include implementation and perceptions of what would improve utility for Missions. PPL should adjust Project Design guidance as needed, based on results. Possible changes, based on evaluation findings, include:
  - a. Clarify whether the purpose of PADs is management or procurement and modify accordingly.
  - b. Advertise which aspects of the guidance are mandatory and which are suggested or country-specific, especially the analyses. Include more detail on how analyses might vary according to whether PADs will result in new procurements, or continue existing mechanisms.
  - c. Educate and empower Missions to align their project design process with their procurement schedules.

### ***Specific Evaluation Recommendations***

10. **PPL should continue to help Missions understand what is expected of them in terms of evaluation, and support them in application.** This evaluation and other LER-initiated evaluations show ongoing quality issues with evaluation SOWs and reporting.
  - a. Provide examples for Missions on how to apply evaluation results in order to improve existing projects and inform future projects
  - b. Support capacity building for Mission staff to enhance evaluation quality and utilize findings for current and future programming through short e-trainings and ongoing mentoring. Expand use of Regional and Pillar evaluation M&E support persons. Conduct e-TDYs for evaluation.
  - c. Advertise *Summary SOW Checklist for Performance Evaluation* to ensure that Missions are aware of and understand the critical factors that should be addressed in evaluation SOWs.

### **8.2.3 BUILDING CAPACITY FOR IMPLEMENTATION OF THE PROGRAM CYCLE: STAFFING, MOTIVATION, KNOWLEDGE, SKILLS**

11. **PPL should strengthen communications and coordination systems and mechanisms between the Office of Budget and Resource Management, Missions, and Regional and Pillar Bureaus.** These systems need to ensure:
  - a. USAID/W staff, especially in Regional, Pillar, and M Bureaus, is appropriately informed and socialized with the Program Cycle so they can implement the components required for their direct work and adequately support Missions to implement all components.
  - b. Provide face-to-face, hands-on support to Missions in reconciling the Program Cycle components (especially Project Design) with local need and context. This can be

- done through visits or through e-TDYs, emphasizing a medium in which conversation and dialogue can occur, and Missions can get context-specific information.
- c. Involve Regional and Pillar Bureau staff (both Program Office and Technical staff) in support to Missions to transfer and expand knowledge, ensure mutual understanding of the guidance and, most importantly, provide consistent messages to Missions.
  - d. Increase Agency staff's depth of awareness of policies and guidance by Bureau, Office, and location and where to access information needed to apply the Program Cycle logic to their context and environment.
  - e. Provide concrete examples of how to make the transition from what exists to what is expected (e.g. templates, measurements and indicators, references and lead(s) in Washington who can provide further assistance).
  - f. Continue to develop appropriate, accessible, short summary versions of Program Cycle guidance, policies and strategies that provide key points, and emphasize relevance and importance to various staff positions.
  - g. Continue to operationalize guidance and policies through templates, checklists, and case study examples, and ensure all policies and guidance include a summary of key points and added value to USAID's work.
  - h. Continue to use communication opportunities to address constraints and challenges to implementation raised by Mission and USAID/W staff through active mechanisms such as ProgramNet, circulars, webinars and e-TDYs.
12. **PPL should develop a range of learning options to suit various styles and needs.** The paradigm shift implicit in the Program Cycle may be larger for some than for others. Each new policy and set of guidance requires that staff and management learn new skills, new ways of doing business, form new teams and adopt new protocols for conducting the work. Continue to focus on Missions, but find ways to engage Regional Bureaus and Platforms over time.
- a. Develop strategic, tailored learning of policies and new guidance that reflects the varied experience and "need to know" at the Mission, and recognizes that not all staff are equally implicated or involved in the Program Cycle. DLIs have been deeply educated, while many others at the Mission have not, and many staff don't have the associated funding to attend a 2-week Project Design and Management course, for example. Staff in critical priority countries has a similar challenge because the Program Cycle is not in full implementation.
  - b. Consider including more relevant / appropriate training opportunities for veteran staff, such as tailoring shorter Project Design and Management, and Programming Foreign Assistance training to recognize and build on their greater responsibilities, experience and knowledge of USAID.
13. **PPL should continue its efforts to expand Agency-wide knowledge and access to ProgramNet.** PPL's current investment in expanding the functionality of ProgramNet and Fall 2013 launch will be beneficial. ProgramNet has the potential to be a key dissemination tool for PPL, but lack of awareness of and frustration with ProgramNet will limit its potential. ProgramNet should be advertised to non-Program Office staff as well.
14. **The Agency should continue to strengthen Program Office staffing and support to ensure the capacity to implement the Program Cycle as intended.** Well-staffed Program Offices are more able to help Missions manage and adapt to change. PPL should increase communication with and focus attention on Program Officers as potential force multipliers and Program Cycle advocates at Missions.

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## Appendix 1. STATEMENT OF WORK

### **Statement of Work: Evaluate the Policies, Reforms and Other Major Activities Carried Out by the USAID's Bureau for Policy, Planning, and Learning (PPL)**

#### **Background**

Established in June 2010, the Bureau for Policy, Planning and Learning (PPL) is responsible for leading the Agency's policy planning efforts, shaping overall strategic and program planning, ensuring the Agency's evolution as a learning and evaluation organization, overseeing donor engagement, and institutionalizing science and technology. Since that time, the PPL bureau has been engaged in a number of efforts to stimulate behavioral and cultural changes throughout the Agency.

Those efforts have included:

1. The drafting and release of USAID's overarching [Policy Framework](#);
2. A revival of country strategic planning, embodied by the [Country Development Cooperation Strategy process](#);
3. [A revival of USAID's project design processes](#);
4. Engagement with the broader donor community, including the [High-Level Forum on Aid Effectiveness in Busan](#);
5. The development of the Donor Engagement Tool Kit;
6. The development and implementation of USAID's [Evaluation Policy](#);
7. The launch of a Washington-based [Geocenter](#), to promote the application of geospatial mapping in USAID field missions;
8. The launch of [USAID's Grand Challenges for Development \(GCD\) initiative](#);
9. The establishment of a formal policy development process via Policy Task Teams (PTTs);
10. The completion of agency-level policies and strategies;
11. The institutionalization of adaptive learning throughout USAID missions;
12. The ongoing provision of technical support on evaluation, project design, and strategic planning;
13. Any other major policy and reform efforts, if any are identified.

#### **Purpose**

The PPL Bureau would like to evaluate the effectiveness, utility, and extent to which the reforms and activities listed above are influencing USAID planning, programming, operations and budgetary decision-making, especially in USAID field missions.

The purpose of this Statement of Work is to procure evaluation services from experienced evaluators in two phases: 1) in collaboration with PPL, propose which PPL efforts can be evaluated and propose evaluation design(s) to evaluate some or all of the policy and reform efforts introduced to date; and, 2) after PPL feedback and concurrence, conduct one or more evaluations based on that plan and design, and provide recommendations for how to best monitor and evaluate PPL ongoing and future efforts.

## Audience

The primary audience for the evaluation plan and final evaluation report is PPL Leadership and staff. PPL's office of Learning, Evaluation and Research will be home to the Contracting Officer's Representative (COR) who will manage this contract and serve as an intermediary between the contractor and PPL Leadership as needed. Secondary audiences are other USAID managers and staff, and USAID partners and counterparts. The final evaluation report will be submitted to USAID's Development Experience Clearinghouse online website and available to the public.

## Phase 1: Evaluation Plan and Design

The contractor will be expected to deliver to USAID a document that represents a thoughtful and methodologically sound evaluation plan and proposed evaluation design consisting of 10-25 pages, plus an executive summary of 2-3 pages and any annexes. The document should make substantive recommendations to PPL on which efforts are evaluable and what approaches are best for rigorously evaluating the bureau's activities. At a minimum, the document should address the following items:

1. **What should be evaluated:** The plan should propose which of PPL's activities and reform efforts launched between June 2010 and June 2012 can and/or should be evaluated taking the following factors into consideration (as well as any other factors proposed by the contractor):
  - a. **Evaluability** – The contractor should systematically assess each of PPL's major activities for evaluability. To what extent can PPL's activities and efforts be rigorously evaluated? Are some bureau-level activities more "evaluable" than others?
  - b. **Potential for adjustment or change**: Based on data gathered through facilitated interviews or discussions with PPL and other USAID staff in addition to other analysis, the contractor should present recommendations on how the evaluation could be used, and which of PPL's major activities have the flexibility to be modified or adjusted. Are there certain activities or efforts that would be easier to change than others? Could answering certain evaluation questions about PPL activities influence bureau decisions and operations?
2. **Options for Evaluation Questions and Methods:** For the activities and reform efforts identified as evaluable and with potential for adjustments, the contractor should propose evaluation questions, methods, and design for one or more evaluations. The recommendations should be based on the contractor's analysis and subsequent understanding of the constraints and opportunities specific to evaluating PPL's activities, as well as on his/her expertise and understanding of methods for evaluating policy and strategy formulation, implementation, staff capacity building efforts and reforms. The contractor is free to offer an expandable set of options from which PPL can choose when making the decision to implement one or more evaluations depending on available resources.
  - a. **Evaluation Questions:** The contractor, in collaboration with PPL, will propose questions that are focused, clear and relevant to those PPL policies and reforms that have been assessed to be evaluable. Some possible *examples* might include but are not limited to:
    - i. **Evaluating how specific PPL efforts are perceived and valued by various stakeholders**, including USAID staff in field missions, USAID staff based in USAID headquarters, USAID implementing partners; other donors; host country government officials; etc.



The contractor should also submit up to 5 resumes of individuals proposed for the Evaluation Team to conduct the evaluation in Phase 2. One of the team members can be selected to support evaluation logistics and administrative tasks. The other members should have evaluation expertise and experience. This will be the end of Phase 1.

## **Phase 2: Conduct the Evaluation and Produce an Evaluation Report**

Phase 2 activities, logistics and time frame will be dependent on the products of Phase 1. Before Phase 2 begins, PPL will communicate which of the proposed evaluation approaches are to be used and provide concurrence on the resumes proposed for the evaluation team or ask for additional resumes to be submitted. Phase 2 will commence with PPL and the full evaluation team meeting to launch the evaluation(s) based on the final evaluation plan and design proposed by the contractor in phase 1, in addition to any changes made by PPL, and finalized at the meeting kicking off phase 2. The Evaluation Team will conduct the evaluation(s) per this final written evaluation plan and design.

### **Timeline/Level of Effort**

It is anticipated that this Statement of Work will require a total of about 17 weeks' effort on the part of the evaluators, with Phase 1 requiring about 7 weeks of effort by one or two evaluators and Phase 2 requiring approximately an additional 10 weeks total for a three to five person team to conduct the evaluation (depending on the complexity and skills needed to implement the evaluation design), and an additional one to two weeks of effort to finalize the evaluation report after PPL reviews the draft. This is an estimate and could differ depending on the proposals. The overall timeline for this evaluation, including time for PPL to review and comment on draft deliverables, is estimated at a total of 8 months from contract start to final evaluation report, divided equally between Phase 1 and Phase 2, however PPL is open to other possible approaches.

Phase 1: Within ten days of the award of this contract, PPL staff will meet with the contractor to discuss the data collection methods and finalize a work plan and schedule for the completion of the Phase 1 deliverables. It is anticipated that the evaluator(s) will review documents provided by PPL describing policies and reform efforts, and begin the evaluability assessment that same week. The draft plan and evaluation design will be due approximately 6 weeks later. PPL will provide comments within 10 working days, and the evaluator will have 5 days to review and integrate comments as appropriate.

Phase 2: After a break of about three weeks, during which time PPL will make decisions about the evaluation approach and design based on the Phase 1 document; communicate the size and skill composition of the desired evaluation team, including approving key personnel proposed for the Evaluation Team at the end of Phase 1, Phase 2 will begin with a meeting with the full evaluation team. The Evaluation Design, work plan, and any data collection instruments will be finalized in written form at that time, and the Evaluation Team will begin to conduct the evaluation. Unless the timeline has been adjusted to accommodate the evaluation approach, the draft evaluation report will be due approximately 8 weeks from that meeting. PPL will provide written comments within 10 working days. The Evaluation Team will have 5 – 10 working days to review comments and integrate them as appropriate before submitting the final report.

The table on the following page provides an illustrative schedule for phase 1 and phase 2 of the evaluation.

Main Tasks for Evaluation of PPL Policies and Reforms	Illustrative Schedule											
	Week 1	2	3	4	5	6	7	8	9	10	11	12
<b>PHASE 1</b>												
Initial meeting with evaluator and PPL	X											
Evaluator document review of PPL policies and reforms	X											
Evaluator data collection on evaluability of PPL efforts	X	X										
Evaluator data collection for which PPL efforts are open to change based on evaluation findings	X	X										
Other data collection as proposed	X	X										
Evaluator data analysis to propose to PPL which PPL policies and efforts can/should be evaluated			X									
Development of evaluation questions by evaluator with input from PPL				X								
Evaluator mapping of appropriate methods to questions				X	X							
Evaluator writes evaluation plan and proposed evaluation design based on questions and methods identified					X	X						
Evaluator submits draft plan						X						
<i>PPL reviews and provides comments on plan to Evaluator</i>								<i>PPL</i>				
Evaluator reviews and integrates comments as appropriate and submits final draft plan and evaluation team resumes									X			
<i>PPL will review and come to a decision on what approaches and recommendations to take for Phase 2</i>											<i>PPL review</i>	
<b>PHASE 2</b>												
Meeting with Evaluation Team and PPL to finalize evaluation approach and design	X											
Evaluation Team finalizes data collection instruments with PPL	X											
Evaluation Team collects data		X	X	X								
Evaluation team analyzes and synthesizes data				X	X							
Evaluation team briefs PPL on preliminary findings and gets initial feedback						X						
Evaluation team writes report						X	X					
Evaluation team provides draft evaluation report to PPL								X				
<i>PPL reviews and provides comments on draft report to Evaluation Team</i>										<i>PPL Review</i>		
Evaluation team lead reviews and integrates comments as appropriate and submits final report											X	X

## Deliverables

### Phase 1:

- Up to 25-page document (plus executive summary and annexes) detailing the data collection and analysis methods and findings related to the evaluability of PPL policies and reforms; proposing options for evaluation questions; proposing options for the best methods for answering those questions, including a description of advantages and limitations of each method and potential data sources; and proposing options for overall Evaluation Design(s) based on the questions and methods identified. This will be due first in draft form, and then in final form after PPL has a chance to review and comment.
- Up to 5 resumes for proposed evaluation team members at the end of Phase 1. Among them, the individuals should have the skills identified as necessary for conducting the Evaluation Design that is proposed. PPL will approve or ask for additional resumes if necessary.

### Phase 2:

- An evaluation report up to 30 pages in length (plus executive summary and annexes). The body of the report must include the executive summary, the evaluation background, purpose, questions, methods, findings, conclusions and recommendations for adjustments to policies and reforms, as well as recommendations for how to best monitor and evaluate PPL ongoing and future efforts. Annexes must include the final evaluation statement of work and/or evaluation design, a list of data sources; data collection instruments; a detailed description of methodology, including any limitations; disclosure of conflict of interest forms by all evaluation team members. If applicable, USAID may include a Statement of Differences as an annex to the final evaluation report submitted by the Evaluation team. The report format and content should be guided by the USAID “How To Note: Preparing Evaluation Reports,” to be provided.

## Evaluation Team Composition

### Phase 1:

- At least one, up to two evaluators. The evaluator(s) should have experience evaluating USAID or other donor policies, reforms, and/or programs at the headquarters and field office levels. The evaluator(s) should have extensive knowledge regarding quantitative and qualitative evaluation methods appropriate for evaluating organizational reforms and policies, and the skills needed to effectively apply these methods and analyze the data and findings these methods generate. Additional experience could include working to implement policies, reforms or other organizational change within an institution and working for USAID or for a similar type of organization. Ideally one of these people would also serve as the Evaluation Team Leader in Phase 2.

Phase 2:

- Evaluation Team Leader: The evaluator should have experience evaluating USAID or other donor policies, reforms, and/or programs at the headquarters and field office levels. The evaluator should have extensive knowledge regarding quantitative and qualitative evaluation methods appropriate for evaluating organizational reforms and policies, and the skills needed to effectively apply these methods and analyze the data and findings these methods generate. Additional experience could include working to implement policies, reforms or other organizational change within an institution and working for USAID or for a similar type of organization. Ideally this person would also serve as (one of) the evaluator(s) in Phase 1.
- Evaluation Team Members (3 – 5):
  - Evaluators: PPL will approve two to three evaluators as evaluation team members who among them have the mix of skills identified in Phase 1 as necessary to implement the Evaluation Design. These team members should also have experience conducting evaluations for USAID and/or other donor organizations.
  - An additional team member can be approved who may not have evaluation skills, but who can manage the team's logistic and administrative needs.
  - PPL is open to other team members and combinations of expertise as long as the skills represented by the group are sufficient for the methods proposed.

## Appendix 2. EVALUATION DESIGN EXECUTIVE SUMMARY

### Introduction

The United States Agency for International Development (USAID) established the Bureau of Policy, Planning and Learning (PPL) in 2010 to bring back policy and strategy functions into the Agency, reversing changes in 2006 that had moved these and other functions to the State Department. The Bureau is responsible for leading USAID's policy formulation, shaping overall strategic and project planning, facilitating the Agency's evolution as an evaluation and learning organization; overseeing donor engagement; institutionalizing science and technology for more efficient and cost-effective development solutions, and serving as the technical backstop for Program Officers and Project Development Officers. Since 2010, PPL has been engaged in a number of efforts to achieve the goal of making USAID a premier development Agency, interacting and trying to influence a wide range of stakeholders within and outside the Agency (both in Washington and in the field).

### Assessing evaluability of PPL efforts

PPL has engaged EnCompass, LLC to assess the effectiveness, utility, and extent to which PPL policies, reforms, and activities are influencing USAID planning, programming, operations and budgetary decision-making, especially in USAID field Missions. This report presents the results of Phase 1 of this evaluation: an evaluation design that has been informed by an assessment of the evaluability of PPL's efforts to date (which focused on the existence of clearly articulated and planned results, that are measurable and for which measurement would serve a useful purpose for the agency at this time).

The evaluation design described in this document is based on information and data gathered through 33 interviews with PPL staff, other USAID headquarters and field staff, colleagues at the State Department and in the development community; focusing sessions with each PPL Office (six in total) and one cross-office session; an extensive document review, and feedback from a Reference Group (composed of current and former Mission Directors) and from PPL on an initial draft design submitted in December 2012.

### PPL's theory of change and proposed evaluation focus

Although PPL has no formal, written theory of change model, the evaluation team was able to flesh out both explicit elements (relating to PPL's mandate, structure, staffing, scope, and definitions of its products and services) and implicit elements (e.g. the approach PPL has taken toward change management). Given the catalytic nature of PPL's role, the evaluation team opted to use an outcome mapping frame to present PPL's theory of change: PPL will be judged by the ability of its stakeholders to use PPL's policies and guidance and implement its reforms to promote Agency-wide (USAID Forward) and USG (DDR) policy. Outcome mapping speaks to three spheres of results: 1) **Sphere of Control**: actions and results that are within PPL's control to determine / manageable interest to achieve; 2) **Sphere of Influence**: results that PPL is trying to catalyze among its stakeholders, such as Missions, Bureaus, other USAID Offices, USG, and donors, and 3) **Sphere of Interest**: higher-level results achieved as a function of stakeholder behaviors and actions that PPL has influenced/catalyzed, including development results.

The evaluation team sketched out a rough theory of change for the purpose of determining the focus of the evaluation design, which clearly shows the wide range of actions in their sphere of control targeting many different stakeholder groups in the sphere of influence. In light of the findings of the evaluability assessment and the importance of the Program Cycle to USAID's search for development discipline, the evaluation team proposes that the evaluation concentrate

on the Program Cycle, one of PPL's key areas of focus, and one that should bring together several Offices in an integrated approach. A more focused theory of change for the Program Cycle is presented in this design, along with delineation of specific desired behaviors for effective implementation of the Program Cycle for each key stakeholder group PPL is trying to influence relative to the Program Cycle.

Within the Program Cycle component related to Agency policies and strategies, the evaluation will examine the Gender Equality and Female Empowerment policy and the Global Climate Change and Development strategy, and only in terms of how Missions have integrated them into their CDCS and Project Designs as per the relevant policy requirements, and not at the policy formulation process. In addition, because the Performance Monitoring guidance was issued in November 2013, it was not included in the evaluation.

## Evaluation design

The goal of this evaluation design is to articulate an evaluative process that will provide PPL and the Agency with a greater understanding of how well the Program Cycle has been understood, implemented, supported, and integrated into the organizational culture. The evaluation will also provide input to help PPL and the Agency move toward a strategy for deepening the integration and institutionalization of the Program Cycle into Mission processes and culture. Four major evaluation questions frame the design:

1. To what extent are USAID Missions effectively implementing and other stakeholders effectively supporting implementation of the Program Cycle?
2. To what extent are PPL Program Cycle products and services meeting the needs of Missions and others in the Agency?
3. What factors internal to PPL enable or constrain its effectiveness related to the Program Cycle?
4. What is needed to facilitate institutionalization of the Program Cycle?

The first question speaks to the outcomes of PPL's actions to date in terms of how well stakeholders are shifting to behaviors that align with the development discipline of the Program Cycle. The second and third questions (a) examine the relevance and effectiveness of PPL products and services and (b) seek greater understanding of the factors that might explain the current level of PPL effectiveness, respectively. The fourth question explores what is needed to generate further institutionalization of the Program Cycle and what role PPL should continue to play in it vis-à-vis other concerned Agency actors.

To answer these evaluation questions, the evaluation team proposes five main types of data collection that will inform our analysis:

- Five Mission case studies that will include individual and group data collection with Mission staff, Embassy staff, implementing partners and host governments to better understand the processes, results and important factors in the uptake of PPL reforms and policies
- A systematic survey using an online platform targeting USAID headquarters and Mission staff
- Up to 50 individual interviews with key USAID and non-USAID staff
- Group data collection sessions for key USAID headquarters staff
- Systematic document review and content analysis of Mission- and Bureau-level products (CDCS, Project Design and evaluations)

Data collection methods will be sequenced to provide maximum value, with early data collection informing later research efforts. The evaluation will start with systematic document review and field visits for the country case studies, followed by individual interviews and online surveys. The

evaluation team will conduct quantitative and qualitative data analysis using data analysis software and triangulate results from various stakeholders and across evaluation questions.

Evaluation is most useful when the findings and recommendations are available in multiple formats – high quality written reports, visual presentations, and when there are opportunities for discussion, clarification and learning. To facilitate use, the evaluation team will conduct a debriefing with concerned Missions before leaving countries where case studies are undertaken; prepare written reports for review and incorporate written feedback by stakeholders (PPL and a Reference Group composed of current and recent senior field staff), and present and lead discussion/learning sessions with PPL to review and discuss findings, conclusions, and recommendations.

## Appendix 3. EVALUATION DESIGN AND METHODS

### EVALUATION APPROACH

This evaluation was designed as a learning and strategic planning tool for PPL and its stakeholders. The evaluation design was grounded in systems thinking, appreciative inquiry, utilization-focused, participatory, and developmental approaches. It included a three month design phase comprised of an evaluability assessment, followed by a six month implementation phase. The evaluation included:

- A logical, stepwise process with built-in checkpoints for using initial findings to inform subsequent data collection and processing
- A highly participatory process, with regular consultation and communication with PPL and its stakeholders to ensure transparency and engagement
- A mixed-methods approach including a desk review, key stakeholders interviews, visits to five countries, group data collection, online survey, and group discussions. Data collection took place between February and June 2013
- An appreciative inquiry approach that identified aspects of PPL in which alignment of goals and efforts brought significant benefit to USAID

The evaluation team was comprised of six main team members, all evaluation experts. Two team members had significant experience in USAID and with various program cycle components. Others brought specific evaluation methodology and analysis expertise, having conducted evaluations of other organizational entities that are catalyzers rather than implementers.

### DESIGN PROCESS

At the request of USAID, the evaluation team conducted an assessment of the evaluability of PPL's efforts to date, focusing on the existence for each reform, policy and activity, of expected results that are clearly articulated, measurable at this time, and for which measurement would serve a useful purpose for the agency at this time. From June 2010 to June 2012, PPL undertook a range of important policies, reforms, and activities, and identified 12 of these (see **Exhibit 35** below) to be considered by the evaluation team for their "evaluability."

#### **Exhibit 35: The 12 Policies, Reforms and Activities Identified in the Evaluation SOW**

1. Drafting and release of Policy Framework
2. Revival of country strategy planning/CDCS
3. Revival of Project Design process
4. Engagement of broader Donor Community
5. Donor engagement toolkit
6. Development and implementation of USAID's Evaluation Policy
7. Launch of Washington-based GeoCenter for geospatial mapping
8. Launch of Grand Challenges initiative
9. Establishment of a formal policy development process
10. Completion of Agency-level policies and strategies
11. Institutionalization of adaptive learning throughout USAID
12. Ongoing provision of technical support on evaluation, Project Design, and strategic planning

To inform the evaluation design, the evaluation team collected data through:

- Six facilitated group discussion sessions using appreciative inquiry and participatory methods with each PPL Office and one cross-office session. These sessions provided information on successes, challenges, stakeholders and future vision.
- 33 individual interviews, involving 17 PPL staff, 9 USAID (non-PPL) staff, 3 United States Government (USG) officers, and 4 external stakeholders to the Agency and the USG. These interviews focused on what would make the evaluation most useful, what key elements need to be included in the evaluation, who were the key stakeholders the evaluation team must interact with, and any advice for the evaluation team.
- Document review including the concept note and creation memos for PPL, notes from retreats, PPL surveys, briefings, conference documentation, and external stakeholder reviews of USAID policies.

The evaluability assessment results and proposed design were shared through discussions with PPL leadership and an Evaluation Reference Group composed of several current or former Mission Directors and Senior Program Officers from the Missions. Following review, PPL selected a focus on five of the six Program Cycle components (excluding budget), with two PPL-issued policies/strategies – Gender Equality and Female Empowerment policy and the Global Climate Change and Development Strategy, as representative Agency policies for the evaluation.

As part of the design phase, the evaluation team sketched out a theory of change and articulated a set of desired behaviors from various stakeholders inside and outside the Agency. Appropriate PPL offices reviewed and adjusted these behaviors, which can be found in **Exhibit 38** at the end of this Appendix.

## METHODS

This evaluation, undertaken at about the two year point of the introduction of various elements of the Program Cycle, provides a cross-sectional view of progress to date in supporting implementation of the Program Cycle with USAID. It examines whether the desired behavior changes have occurred and the factors that have facilitated or hindered those changes. At this time in the Program Cycle implementation, it is not possible to measure the impact of the Program Cycle, or any of its constituent elements, on the quality of USAID's development programs.

The evaluation team used a mixed-methods approach to answer the four evaluation questions, the details of which are outlined in the data collection matrix in

**Exhibit 39.** Five main types of data collection were used.

**Case Studies:** USAID has over 80 Missions, 73 of which are required to comply with the CDCS process and apply the Program Cycle. Nineteen of these already have approved CDCSs and several more are awaiting approval. Given this range of implementation and support contexts, the team chose to prepare country case studies to capture this dynamic situation. The team used the following selection criteria for the country case studies:

- Maximum representation of various components of the Program Cycle: completion of the CDCS, initiation of Project Design, and integration of evaluation
- Varying Mission and portfolio size
- Relevance of the two selected policies to Mission's portfolio
- Priority countries (or not) for various initiatives (Global Health Initiative, Feed the Future, etc.)

- Those that were considered “success stories” for the CDCS process and those that have had challenges

The team prepared five case studies (Ethiopia, Georgia, Nepal, Peru and Senegal) during four day in-country visits by two evaluation team members. The evaluators collected data through:

1. Individual and group interviews with the Mission Front Office, Program Office, most Technical Offices, Gender and Climate Change Advisors, M&E advisors, Host country government representatives, other donors
2. Facilitated group data collection sessions with: a) FSOs; b) FSNs; and c) implementing partners
3. Systematic document review of the Missions’ CDCS, Project Approval Documents, Mission Orders and Evaluation Scopes of Work.

The evaluators prepared brief summaries of findings which were reviewed by the Mission for accuracy.

**Exhibit 36: Case Study Country Sampling**

Data Collection Methods	Ethiopia	Georgia	Nepal	Peru	Senegal
<b>INTERVIEWS*</b>					
<b>USAID/USG staff interview sessions</b>	15	11	14	10	13
<b>Host Government</b>	2	2	2	2	1
<b>Donors</b>	2	2	2		2
<b>Implementing Partners**</b>			1		
<b>FACILITATED GROUP</b>					
<b>FSO session</b>	1	1	1	1	1
<b>FSN session</b>	1	1	1	1	1
<b>Implementing partners session</b>	1	1	1	1	1

\*Most Interviews were group interviews, sometimes consisting of 5 or more interview participants

\*\*In all but one country, implementing partners participated in a facilitated group discussion only. However in Nepal, an interview was held with an additional implementing partner.

**Semi-structured interviews:** The evaluation team chose interviews to explore the reality and context of the field, including issues of politics, policy, culture, geography, language, economics, and existing country systems. Most individual and group interviews were conducted at Mission level (81), with an additional 32 conducted at USAID/W (29 during the design phase). The team organized individual interviews in a semi-structured format to allow in-depth exploration of topics, while ensuring that the interviews stayed focused and on track. Interviews generally took 45-60 minutes. All interviews began with a statement of informed consent and confidentiality. The interview guides are featured in **Appendix 5**, starting on **page 71**.

**Facilitated group discussion session:** The evaluation team used group data collection sessions where the processing of issues in a group setting would generate deeper exploration of issues than individual interviews. The team conducted three such sessions during each country visits for key Mission actors and for USAID implementing partners. The team also conducted 8 sessions with representatives from Regional, Pillar and the Management Bureaus. Group data collection sessions lasted 1½ – 2 hours and focused on involvement with the

Program Cycle, enablers and constraints, and issues for institutionalization. The questions used to guide the discussions are featured in **Appendix 5**, starting on **page 86**.

**Systematic review of Program Cycle products:** The evaluation team undertook a content analysis of 18 country-level CDCS, using a checklist of criteria regarding inclusion of specific guidance, evidence and policy based on the CDCS guidance and ADS 201. The evaluation team found only a tool developed by LER for reviewing results framework narratives and so it developed its own checklist. CDCS were scored as well on their alignment with the GEFE policy and the GCC Strategy as appropriate. The full CDCS review summary report can be accessed here: [http://pdf.usaid.gov/pdf\\_docs/PDACX603.pdf](http://pdf.usaid.gov/pdf_docs/PDACX603.pdf).

Six Project Appraisal documents that were completed in the case study countries were reviewed using criteria regarding compliance with Project Design guidance and ADS 201.

The team also reviewed a sample of Evaluation Scopes of Work using a checklist of criteria drawn from the Evaluation Policy, Evaluation SOW Checklist (V1), and ADS 203. The sample was randomly drawn from completed evaluations that were uploaded to the Development Exchange Clearing House. Thirty SOWs were reviewed, including 10 from each year (2010-2012). The evaluation team focused the analysis on the quality of evaluation statements of work (including comparative analysis of documents produced both before and after the Evaluation Policy was developed and disseminated). The team triangulated the document review with results from the online survey (discussed below) and interview data. The full Evaluation SOW review report can be accessed here: [http://pdf.usaid.gov/pdf\\_docs/PDACX604.pdf](http://pdf.usaid.gov/pdf_docs/PDACX604.pdf).

The document review checklists are featured in **Appendix 5** on **page 94**, and the list of documents reviewed is featured in **Appendix 4**.

**Online survey of USAID staff in Washington and in the Field:** The evaluation team chose to use an online survey to obtain representative data on knowledge, perceptions of utility and application of Program Cycle (and its support) in one's own work context. The online survey permitted cost-effective administration to a large sample of participants. The survey targeted all USAID staff, with the exception of logistical staff (such as drivers). Using a full email list of all USAID staff addresses, the evaluation team removed about 1483 USAID staff members who were deemed not relevant given the evaluation focus. The survey began with an opt-out question to allow staff members who have had no involvement with the Program Cycle as part of their job responsibilities to opt out of the survey. The survey then led respondents through a set of questions, depending on whether they were field or Washington-based. Questions for field and Washington-based staff followed a similar framework, but were articulated differently according to their roles. PPL staff received a separate, but parallel survey. The survey was designed to take 20-25 minutes to complete and included respondent characteristics, such as position, length of service in USAID, operating unit and country. Survey data from Mission staff were merged with Mission profile data provided by PPL but publically available on the [www.foreignassistance.gov](http://www.foreignassistance.gov), such as 2012 budgets, funding for Presidential Initiatives; and data on the number of FSOs (to gauge Mission size). The survey was posted for 2 weeks, using SurveyMonkey platform with each email address receiving an individual and unique survey link and six reminders. The survey included mostly close-ended questions with fixed responses, but had one open-ended question with free style responses on each of the Program Cycle components. The online survey questionnaires can be found as a separate attachment.

**Exhibit 37: Online Survey Sample and Response Rate**

<b>Respondent Categories</b>	<b>Number</b>
<b>Survey sent</b>	9,071
<b>Opened survey</b>	2,734
<b>Did not opt out of first question</b>	2,043
<b>Field Respondents:</b>	1441
<b>Front Office</b>	53
<b>Program Office</b>	287
<b>Technical Office</b>	777
<b>Financial Management</b>	144
<b>Procurement</b>	92
<b>Executive Office</b>	72
<b>Regional Legal Advisor</b>	16
<b>FSO</b>	426
<b>FSN</b>	833
<b>Other (GS, TCN, PSC, other)</b>	187*
<b>USAID Washington:</b>	562
<b>Regional Bureaus</b>	342
<b>Pillar Bureaus</b>	109
<b>Other Offices**</b>	70
<b>Bureau Front Office</b>	22
<b>Independent Office Director/Deputy</b>	33
<b>Bureau Program Office</b>	147
<b>Bureau Technical Office</b>	242
<b>Procurement</b>	34
<b>Admin Mgmt Support</b>	74
<b>Legal Council</b>	10
<b>PPL staff</b>	
<b>Survey Sent:</b>	100
<b>Respondents</b>	51

\*Field responses vary by an N of 6 due to skipped questions.

\*\*Including Office of the Administrator, Office of Afghanistan and Pakistan Affairs, Office of Budget and Resource Management, Office of the Executive Secretariat, Office of the General Council, Office of Human Resources, Office of Innovation and Development Alliances, Office of the Inspector General, Office of Security, Office of the Small and Disadvantaged Business, Utilization/Minority Resource Center, Middle East Partnership Initiative (DOS), Trans-Sahara Counter-Terrorism Partnership (DOS), AID/W Complement

**ANALYSIS**

**Qualitative Analysis:** The team transcribed and coded data from individual and group interviews after each interview. Coding and analysis (content and thematic) was undertaken in Dedoose (qualitative analysis software). The team extracted information from the document review to check sheets and enter this into Excel for analysis.

**Quantitative Analysis:** Data from the online survey were analyzed in SPSS. Analyses included descriptive statistics, as well as parametric and non-parametric tests to examine within and between groups differences. Comparisons among offices at Missions were performed using one-way ANOVA, with Tukey’s post hoc test to compare mean scores. The Kruskal-Wallis Test was used to confirm significance. Comparisons between FSO and FSN’s at Missions and between Missions and USAID/W were performed using independent samples t-tests to compare

means. The Mann-Whitney U test was used to confirm significance. Significance was tested at the 0.05 level.

Some analyses focused on staff perception of various Program Cycle components. For CDCS, Mission cases were selected by exposure to CDCS (either through direct involvement or current employment at a Mission with a CDCS). USAID/W staff members were selected if they played a supporting role in the development of a Mission CDCS. For Project Design, Mission staff members were selected if they have been involved in the Project Design process. For evaluation, Mission staff members were selected if they were involved in evaluation practices. USAID/W staff members were selected if they were involved in evaluation practices at USAID/W or if they supported evaluation practices at Missions. All respondents from USAID/W and at Missions were selected for analyses pertaining to the GEFE policy. For the GCC strategy, both USAID/W and Mission staff were selected if respondents *did not* select 'not applicable' to relevant questions.

Analyses that focused on PPL staff did not include any selection criteria.

Qualitative (document review, interviews, and focus groups) and quantitative results were triangulated where appropriate.

**Exhibit 38: Desired stakeholder behaviors for effective implementation of the Program Cycle**

**Mission Staff: Directors, Program Officers, Technical staff**

**Agency Policies and Strategies:**

- Develop CDCS and Project Designs in line with relevant policies / guidance
- Contribute field-based experience in prioritization, development, and strategic application of policies at field level

**CDCS:**

- Utilize CDCS guidance effectively in the development of strategies and results frameworks
- Use evidence base to frame persuasive case for resources
- Use CDCS as focus point for development of integrated USG country strategy
- Incorporate international commitments and principles on aid and good practice of donor engagement policies and principles

**Project Design and Implementation:**

- Utilize Project Planning and Design guidance effectively

**Evaluation and Monitoring:**

- Regularly conduct useful and quality evaluations
- Design quality performance monitoring systems and use data for decision making and learning

**Learning and Adapting:**

- Create and use learning agenda to (adapt programs and projects)
- Avail evidence base in making programming decisions
- Conduct at least one strategic portfolio review per year

**Overall Program Cycle:**

- Consider PPL guidance appropriately in planning, coordinating, monitoring and evaluating development
- Encourage the integrative role of the Mission Program Office in leading Mission efforts to achieve Agency reforms
- PO/PDOs promote integration of Agency and PPL policies and guidance in their Missions (change agents)
- Mission Directors provide leadership on reforms due to strategic communication

**Regional and Pillar Bureau Staff: Front Office, Program Office, and Technical staff**

**Agency Policies and Strategies:**

- Advocate with and support Missions to apply relevant policy across programs and portfolios

**CDCS:**

- Train, support, and encourage missions in the CDCS and Project Design processes
- Work collaboratively with PPL to apply guidance for CDCS clearance, review and approval

**Project Design and Implementation:**

- Provide leadership for uptake of Agency guidance on country strategy and PD

**Evaluation and Monitoring:**

- Support and encourage Missions in conducting useful, quality evaluations, performance monitoring and portfolio reviews

**Learning and Adapting:**

- Have and use learning agenda, and support and share with Missions best practices in learning drawn from similar technical sector or region

**Overall Program Cycle:**

- Incentivize Missions to apply PPL's value added processes and policies (due to PPL's strategic communications)
- Support PO/PDOs through regular regional (or sector) workshops and training
- Strengthen the leadership of Program and Project Development Officers within Bureaus

**Other US Government Agencies: STATE, others**

**CDCS:**

- Embassies / Country Teams engage and coordinate with CDCS process
- Coordinate with USAID in-country under Embassy lead to implement coherent donor engagement in their countries
- Harmonize and align USG development assistance and minimize the fragmentation of USG foreign assistance in host countries
- Promote and implement policy coherence in USG foreign assistance

**Host Governments**

**CDCS:**

- Participate and contribute to CDCS through joint analyses and review of draft document
- Feel ownership of development priorities outlined in CDCS; coordination on development priorities

**Evaluation and Monitoring:**

- Understand USAID evaluation, performance monitoring and learning guidance

**USAID Front Office**

**Agency Policies and Strategies:**

- Prioritize and systematically determine policy priorities for the country-specific context and development challenges

**CDCS:**

- Provide leadership and incentives for Missions to adhere to USG international commitments on Aid and Development Cooperation Effectiveness Principles

**Evaluation and Monitoring:**

- Use evidence in decision-making
- Provide leadership and incentives for uptake of Agency guidance on evaluation, performance monitoring, and learning

**Overall Program Cycle:**

- Allow flexibility needed to use guidance in accordance with country context
- Provide leadership and incentives for uptake of SPP guidance

**Other PPL Offices (including PPL Front Office)**

**Agency Policies and Strategies:**

- Other PPL offices motivate and incentivize integration of policy guidance into project development processes and external partner policy dialogues

**CDCS:**

- PPL Front Office provides leadership and incentives to follow CDCS / PD guidance
- Other PPL offices contribute to CDCS reviews
- Other PPL offices incorporate donor engagement and partnership policies into other strategies, practice and programs

**Evaluation and Monitoring:**

- Other PPL offices apply evaluation and learning for their own activities
- Other PPL offices integrate evidence into activities and decision-making
- Other PPL offices integrate evaluation, performance monitoring, and learning guidance with other guidance going to the field

**Overall Program Cycle:**

- PPL Front Office and other PPL offices decide on and clearly link priorities (program, policies, staffing) to core management principles
- PPL offices work effectively together to better achieve PPL objectives, serve as the operational and technical “homebase” for Agency PO and PDOs

**Exhibit 39: Data Collection Matrix**

Evaluation Questions	Illustrative Measures	Data Sources/Methods	Data Analysis
<b>1. Sphere of Influence: To what extent are USAID Missions and other stakeholders effectively supporting implementation of the Program Cycle?</b>			
Awareness of the Program Cycle	Degree to which USAID Mission staff is aware of the Program Cycle and their responsibilities (including products and services)	Case studies of selected Missions: in person interviews and focus groups  Non case study Missions: online survey	Disaggregated by types of products and services, program cycle component, Mission* and staff factors**
Desired behaviors to implement and support implementation of the Program Cycle (USAID and other stakeholders)	Degree to which Missions are following PPL guidance in the design of programs: CDCS, Program Cycle, Project Design, Learning strategy, International commitments, Donor engagement policies, evidence (from evaluation or other sources)  Degree to which Regional and Pillar Bureaus support Mission staff regarding the Program Cycle, including: Program Cycle advocacy, training Mission staff on the Program Cycle, managing budget allocation	Case studies of selected Missions: in person interviews and focus groups  Non case study Missions: online survey  USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey	Disaggregated by type of guidance, program cycle component, organizational unit, Mission* and staff** factors
Alignment of Mission level products to Program Cycle guidance, policies, and strategies	Degree to which Mission level products (such as CDCS, Project Designs, and evaluation SOWs) align with PPL guidance, policies and strategies, including: CDCS guidance, Project Design guidance, Evaluation SOW guidance	Systematic document review based on quality criteria checklist that documents evidence of alignment with Program Cycle guidance, policies, and strategies	Disaggregated by reform, type of support  For evaluation SOWs, comparative content analysis before and after 2011 (to gauge changes)
Stakeholder perception of changes in USAID culture and approach since the development of the Program Cycle	Degree to which USAID staff (Mission and Headquarters) perceives a shift in organization culture and development discipline related to the Program Cycle  Degree to which external concerned stakeholders (such as DPs, IPs, US NGOs, and other actors) perceive a shift in USAID with respect to: increased engagement with partners, use of evidence in learning and	Case studies of select Missions: in person interviews and focus groups; interviews with host governments, other USG agencies, implementing partners and other in country donors  Selected concerned stakeholders inside and outside USG: individual interviews	Disaggregated by stakeholder type and country

Evaluation Questions	Illustrative Measures	Data Sources/Methods	Data Analysis
	program planning in case study countries		
Enablers and constraints affecting implementation and support of the Program Cycle	N/A	<p>Case studies of selected Missions: in person interviews and focus groups with Mission staff; interviews with host governments, other USG agencies, implementing partners and other in country donors</p> <p>Non case study Missions: online survey</p> <p>USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey</p>	Disaggregated by staff factors*
<b>2. Sphere of Control: To what extent are products and services meeting the needs of Missions and others in the Agency?</b>			
Strategies and approaches PPL has used to facilitate uptake of PPL products and services	Number and types of interventions, including: training, communication strategies, technical assistance (on the ground and virtual), and change management strategies provided to Missions and Bureaus	<p>Case studies of selected Missions: in person interviews and focus groups with Mission staff; interviews with host governments, other USG agencies, implementing partners and other in country donors</p> <p>Non case study Missions: online survey</p> <p>USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey</p>	Disaggregated by intervention type

Evaluation Questions	Illustrative Measures	Data Sources/Methods	Data Analysis
Extent that PPL products and services are relevant, accessible, and useable among USAID stakeholders	Degree to which USAID staff: is aware of existence of PPL products and services, knows where to access PPL products and services, actually accesses PPL products and services, perceives PPL products and services as easy to use, and perceives PPL products and services as relevant and helpful	Case studies of selected Missions: individual and group interviews with Mission staff  Non-case study Missions: online survey  USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey	Disaggregated by type of products and support, program cycle component, Mission* and staff** factors
Effectiveness of PPL's technical support and capacity building assistance	Degree to which Mission staff perceives benefits and changes in capacity following exposure to PPL technical support and capacity building assistance  Degree to which PO/PDOs who have received assistance feel more empowered to take initiative and leadership in their Missions and Bureaus, and are clear about, and prepared for their role	Case studies of selected Missions: in person interviews and focus groups with Mission staff  Non-case study Missions: online survey  USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey	Disaggregated by types of products and services, program cycle component, Mission* and staff factors**
<b>3. Sphere of Control: What factors internal to PPL enable or constrain its effectiveness related to the program cycle?</b>			
Internal enablers and constraints faced related to Program Cycle	Enablers and constraints: such as ability of PPL to remain focused on key tasks, respond to the needs of others in the Agency (and outside), leverage synergy across Offices, and balance guidance versus advocacy and capacity building task	PPL staff, and other key Offices and Bureaus (e.g. Front Office, HR, M, BRM): individual and group interviews, focus groups, and online survey	
Opportunities to improve the use of PPL and Agency resources to most effectively support the Program Cycle	Implementation: strategies developed and implemented to address identified constraints to program implementation  Support: strategies developed and implemented to address constraints to program support		
<b>4. Institutionalization of Reforms: What is needed to facilitate institutionalization of the Program Cycle?</b>			
Factors that enable and constrain institutionalization of	Enablers and constraints faced by Missions in sustaining the Program Cycle over time	Case studies of selected Missions: individual and group interviews with Mission staff	Disaggregated by Program Cycle component, Mission*

Evaluation Questions	Illustrative Measures	Data Sources/Methods	Data Analysis
the Program Cycle		Non-case study Missions: online survey	and staff* factors
Evolution of PPL's role to improve institutionalization of the Program Cycle	Enablers and constraints faced by PPL in achieving scale and institutionalization of the Program Cycle	PPL staff and other key Offices: individual interviews, group interviews and online survey  USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey	
Roles that other stakeholders in the Agency should play to support institutionalization of the Program Cycle	Enablers and constraints faced by other USAID Bureaus and Offices to support scale and institutionalization of the Program Cycle	Case studies of selected Missions: in person interviews with other USG agencies  USAID Headquarters (Regional and Pillar Bureau staff, other PPL Offices, Front Office, and BRM): individual interviews, focus groups and online survey	Disaggregated by organizational unit

\*% of mission budget defined by presidential initiatives

\*\* Length of service, nature of employment, Office, Function, Level of involvement in various Program Cycle components

## **Appendix 4. DOCUMENTS REVIEWED**

### **POLICIES, STRATEGIES AND GUIDANCE**

- ADS Chapter 201 Planning, revised March 23, 2012
- ADS Chapter 201 Planning, revised July 2, 2013
- ADS Chapter 201 Planning, revised July 22, 2013
- ADS Chapter 203 Assessing and Learning, revised February 10, 2012
- ADS Chapter 203 Assessing and Learning, revised November 2, 2012
- ADS Chapter 205 Integrating Gender Equality and Female Empowerment in USAID's Program Cycle, July 17, 2013
- Building Resilience to Recurrent Crisis: Policy and Program Guidance, December 2012
- CDCS Guidance, Version 2, no date
- CDCS Guidance, Version 3, no date
- Climate Change and Development Strategy 2012-2016, January 2012
- The Development Response to Violent Extremism and Insurgency, September 2011
- Evaluation Policy, January 2011
- Evaluation Policy: Year One, First Annual Report and Plan for 2012 and 2013, February 2012
- Education Strategy 2011-2015, February 2011
- Gender Equality and Female Empowerment Policy, March 2012
- Program Cycle Draft Learning Guide, July 17, 2012
- Program Cycle Overview, December 9, 2011
- Project Design Guidance December 9, 2011
- USAID Policy Framework 2011-2015
- Water and Development Strategy 2013-2018
- Youth in Development Policy, October 2012

### **ACTION MEMOS AND GENERAL NOTICES**

- Action Memo for the Administrator: Strengthening USAID Policy and Strategy Process, June 30, 2010
- Bureau for Policy, Planning and Learning (PPL) Concept Note, May 17, 2010
- Action Memo for the Administrator: Approval of New Bureau for Policy and Other Functions, March 9, 2010
- General Notice: Strengthening Policy and Strategy Processes at USAID, July 27, 2010
- General Notice: USAID Forward: Strengthening, Optimizing, Streamlining, August 4, 2010
- General Notice on Aligning Planning and Resources, May 9, 2012
- General Notice on New Standardization Project: What to Expect and How to Get Involved, February 13, 2013
- General Notice on Final Standard Program Cycle Mission Orders Published for Field Adoption, July 2, 2013

### **MISSION ORDERS**

- Standardized Mission Order: Budget
- Standardized Mission Order: Evaluation

- Standardized Mission Order: Performance Monitoring
- Standardized Mission Order: Project Design
- Standardized Mission Order: Portfolio Reviews
- Standardized Mission Order: Strategy

## **ADDITIONAL PPL DOCUMENTS**

- A Roadmap to the Mission of the Future: 2009 Worldwide Mission Directors' Conference, Leesburg, Virginia, November 30, 2009 – December 4, 2009
- 2009 Worldwide Mission Directors' Conference Agenda, November 30- December 4, 2009
- 2009 Worldwide Mission Directors' Conference Report, December 4, 2009
- Salient trends and issues in monitoring and evaluation in USAID, Background for USAID's 2009 Worldwide Mission Directors' conference, November 12, 2009
- PPL Bureau Management Meeting Presentation, September 14, 2010
- USAID Forward Presentation, Cairo, Egypt, October 2010
- CDCS Supplemental Guidance for Integrating Global Climate Change, January 9, 2012
- PPL Organizational Chart, October 24, 2012
- U.S. Department of State, Office of U.S. Foreign Assistance Resources Guidance for Performance Plan and Report, FY 2012
- USAID PPL FY 2012 Full Performance Plan Report
- Program Cycle Capacity Building: Needs Assessment Preliminary Results Presentation, August 2012
- Program Cycle Needs Assessment
- AFR Management Assessment Presentation, March 14, 2013
- PPL Bureau Wide Retreat Final report, July 12, 2013

### *Office of Budget and Resource Management*

- PPL Office of Budget and Resource Management Strategic Priorities and Key Milestones, April 6, 2010

### *Office of Donor Engagement*

- Donor Engagement Toolkit
- HLF-4 Outcomes and USAID: What do they mean for me?
- U.S. / Republic of Korea Global Development Partnership Statement of Intent
- U.S./ European Union Development Dialogue: Road Map on Climate Change 2010-2011
- U.S./ European Union Development Dialogue: Road Map for Cooperation in Food Security 2010-2011
- U.S./ European Union Development Dialogue: Road Map on the Millennium Development Goals in 2010-2011
- Fourth High-level Forum on Aid Effectiveness (HLF-4), Busan, Korea, November 29- December 1, 2011
- USAID Senior Development Counselors Brief
- Description of 2012 UN General Assembly Side Events
- MDG Countdown 2012: Working Together towards 2015
- Aid Transparency Fact Sheet

### *Office of Learning, Evaluation and Research*

- LER Results Framework
- Checklist for Reviewing Scopes of Work for Performance Evaluations
- Performance Monitoring and Evaluation TIPS Number 3, 2<sup>nd</sup> Edition: Preparing an Evaluation Statement of Work, 2010
- USAID Evaluation Policy, Answers to Frequently Asked Questions, Issue 1, March 25, 2011
- A Meta-Evaluation of Foreign Assistance Evaluations Report, June 1, 2011
- USAID Forward Presentation, March 27, 2012
- LER Workload 2012 Presentation, April 2012
- LER Retreat Report, April 24, 2012
- LER 3.0 Presentation, May 8, 2012
- Evaluation at USAID Presentation, September 2012
- LER Engagement on CDCS, October 2012
- Opening the Project Cycle: Project Design for Learning Presentation, Ag Project Design Workshop, Washington, D.C., October 5, 2012
- CDCS Learning Approaches and Tools Presentation, revised October 14, 2012
- Performance Monitoring in ADS 203: Key Revisions Presentation, December 14, 2012
- Program Cycle Support Log FY 2012-2013
- CDCS Review: PPL/LER Roles and Responsibilities Presentation, January 24, 2013
- PPL/LER CDCS Review Checklist, January 24, 2013
- Summary SOW Checklist for Performance Evaluations
- ProgramNet Analytics Report, June 1- 30, 2013
- ProgramNet Analytics Report, July 1- 31, 2013
- ProgramNet Update, July 22, 2013
- ProgramNet Redesign Preview Presentation, August 2013

### *Office of Policy*

- USAID Policy Framework 2011- 2015 Presentation
- Office of Policy Retreat Key Points, December 9, 2011
- Office of Policy Priorities and New Agenda for PPL Senior Retreat Presentation
- A New Vision for the USAID-U.S. NGO Relationship: Partnering for effective development, July 2012 (InterAction Policy Paper)
- Procurement for Country Ownership and Better Results: Recommendations for improving USAID's implementation and procurement reform (IPR), September 2012 (InterAction Policy Paper)
- More Effective Capacity Building within USAID Forward, October 2012 (InterAction Policy Paper)

### *Office of Strategic and Program Planning*

- Revitalizing Project Design Presentation, from 2009 Worldwide Mission Directors' Conference
- Program Officer Conference Materials
- CDCS Workplan, June 4, 2012

- 2012 Worldwide Program and Project Officers' Leadership Conference Agenda, July 23-27, 2012
- Program Office Overview Presentation, November 2012

### *Office of Science and Technology*

- Beyond Assistance: The HELP Commission Report on Foreign Assistance Reform, 2007
- Office of Science and Technology Overview
- Office of Science and Technology; Strengthening Monitoring, Evaluation and Transparency; and Rebuilding Policy Capacity Objectives and Priorities
- Release: USAID Launches new GeoCenter, November 10, 2011
- National Institute for Development Value Proposition, August 16, 2012
- Office of Management and Budget Briefing Document, October 2, 2012
- USAID Washington-Based R&D Portfolio FY 2012/2013/2014: Highlights of Survey Results

### **CDCS REVIEW**

- USAID/Albania 2011-2015 CDCS
- USAID/Azerbaijan CDCS 2011-2016
- USAID/Bangladesh CDCS FY 2011- FY 2016
- USAID/Bosnia and Herzegovina CDCS 2012-2016
- USAID/Ethiopia CDCS 2011- 2015: Accelerating the Transformation toward Prosperity
- USAID/Caucasus CDCS Fiscal Year 2013-2017, June 2012
- USAID/Ghana CDCS 2013-2017
- USAID/Guatemala CDCS 2012-2016
- USAID/Jordan CDCS 2013-2017, November 2012
- USAID/Liberia CDCS 2011-2015
- USAID/Mongolia CDCS FY 2012-2014, June 2012
- USAID/Peru CDCS 2012-2016
- USAID/Russia CDCS 2012-2016
- USAID/Senegal CDCS 2012-2016
- USAID/Sri Lanka CDCS FY 2011- 2013
- USAID/Uganda CDCS 2011-2015 (Working Extract)
- USAID/Ukraine CDCS 2012-2016
- USAID/Zambia CDCS 2011-2015

### *Additional Country and Regional Development Strategies*

- USAID/Central Africa Regional Program for the Environment (CARPE) Regional Development Cooperation Strategy, 2012-2020
- USAID/South Sudan Transition Strategy 2011-2013
- USAID/Southern Africa Regional Development Cooperation Strategy 2011-2016

### **EVALUATION SOW REVIEW**

#### *2010*

- Evaluation of USAID/Peru's Education Program ApreDes and CETT-Andino, April 2010
- Youth and Non-Violence in Guinea Evaluation, April 2010

- Breaking Barriers Project: Kenya, Uganda, and Zambia End-Term Evaluation, May 2010
- Ministry of Women's Affairs Initiative to Strengthen Policy and Advocacy (MISPA), Afghanistan, May 10- June 25, 2010
- USAID/Nigeria: Centre for Development and Population Activities (CEDPA) Positive Living Project Final Evaluation, July 2010
- C-SAFE Zimbabwe End of Program Evaluation, July 20, 2010
- Final Evaluation of the SME Support Project (Georgia), August 2010
- USAID/South Africa: Integrated Primary Health Care Project End of Project Evaluation, November 2010
- USAID/Namibia: NAWA Life Trust Cooperative Agreement End of Project Evaluation, December 2010
- Assessment of the Private Sector Competitiveness Enhancement Project (PSCEP), Azerbaijan, December 29, 2010

### 2011

- Ghana Community Teachers' Program (CTP) Evaluation, 2011
- Afghan Civilian Assistance Program (ACAP) Final Evaluation, January 13- March 12, 2011
- Afghanistan Rule of Law Stabilization Program (Informal Component) Final Evaluation, January 24, 2011
- South Asia Regional Initiative for Energy (SARI/E) Phase III Evaluation, March 2011
- Tatweer National Capacity Development Program Final Evaluation, Iraq, April 2011
- Final Evaluation of the Land Rights and Community Forestry, USAID/Liberia, October 31, 2011
- Northern Uganda Water Supply Services Project (NUWATER) End of Project Evaluation, November 21, 2011
- End of Program Evaluation of the Consortium for Food Security, Agriculture, AIDS, Resiliency and Marketing (C-FAARM) Program, Zambia, December 2011
- Serbia Consortium for Elections and Political Processes Strengthening (CEPPS) II Evaluation, December 2011
- CEPPS III- Support to the Political Process in Lebanon Evaluation, December 30, 2011

### 2012

- The Performance Evaluation of USAID/Ethiopia-Funded International Foundation for Education and Self-Help Capacity Building in Teacher Education Program, February 2012
- The Elections and Political Processes Program in Colombia Evaluation, April 2012
- ProAgro Angola Final Evaluation, May 2012
- Connecting Regional Economies (CORE) Project Final Evaluation, Sri Lanka, May 2012
- Program Research for Strengthening Services (PROGRESS) End of Project Evaluation, June 2012
- Task Order # 14: Road Operation and Maintenance Capacity and Building Program Final Evaluation, Afghanistan, June 12, 2012
- Albanian Agricultural Competitiveness (AAC) Program Evaluation , July 31, 2012
- Kosovo American Education Fund (KAEF) Evaluation , August 2012
- USAID/Serbia and Montenegro Preparedness, Planning and Economic Security (PPES) Project Evaluation, September 5, 2012

- Evaluation of the Improving Local Level Governance Project in Bangladesh, November 2012

## CASE STUDIES

### *Ethiopia*

#### Evaluations/Assessments

- Gender analysis for the Ethiopia CDCS
- USAID/Ethiopia HAPN Gender Assessment, March 2012

#### Mission Orders

- Mission Order on Environmental Compliance( 2-12), April 2011
- Mission Order on Performance Monitoring and Evaluation (2-4), June 21, 2012
- Mission Order on Gender Integration (2-5), August 3, 2012
- Mission Order on Project Design and Approval Process, no date

#### Project Design Documents:

- Help Ethiopia Address the Low TB Performance (HEAL TB Performance) Project, Concept Paper, May 5, 2010
- Activity Approval Document for the Pastoralist Areas WASH Project in Afar, Oromiya and Somali Regions, November 30, 2010
- Activity Approval Document for the Reading for Ethiopia's Achievement Development (READ) – Technical Assistance Project, June 28, 2011
- Project Appraisal Document for Development Objective (DO) 2, Increased Utilization of Quality Health Services, Intermediate Result (IR) 2, Improved Health Systems Management and Integration and the National and Community Levels, hereafter, referred to as the Health Systems, Management and Integration (HSMI) Project, July 2, 2012
- Project Appraisal Document for Support Objective (SO), Improving the Governance Environment for Sustainable Development, July 9, 2012

#### Other documents:

- Environmental Procedures Best Practices Review: Report and Action Plan, July, 2009

### *Georgia*

#### Evaluations SOW

- Statement of Work: Performance Evaluations of Access to Mechanization Project and the Economic Prosperity Initiative Project

#### Project Design Documents:

- Project Appraisal Document, EC-LEDS Clean Energy Program, no date

#### Other documents:

- Development Objective Dashboards (3 in total)

### *Nepal*

#### Evaluation SOW

- USAID/Nepal Education for Income Generation Project Evaluation SOW

- USAID/Nepal Flood Recovery Project Evaluation SOW

#### Evaluations/Assessments

- Democracy, Human Rights, and Governance Assessment of Nepal Draft Report, August 2012
- Feed the Future Cost Benefit Analysis of Agriculture Interventions in Far-West and Mid-West Nepal Summary Report, December 2012

#### Mission Orders

- Mission Order on Integrated Project Design and Approval (M.O. 201.3), no date

#### Other Documents

- USAID/Nepal Country Gender Analysis, September 5, 2012
- USAID/Nepal CDCS Draft Results Framework Narrative, November 28, 2012

### *Peru*

#### Evaluation SOW

- USAID/Peru ProDecentralization Project Evaluation SOW
- Evaluation contract SOL-527-12-000014

#### Evaluations/Assessments

- Peru Climate Change Vulnerability and Adaptation Desktop Study, December 2011
- Follow the Water: Emerging Issues of Climate Change and Conflict in Peru, June 2012
- Low Emission Development Strategy (LEDS) Peru - Scoping Trip Report (Final Draft), November 2012

#### Mission Orders

- Mission Order on Monitoring and Evaluation (M.O 200.7), March 28, 2012
- Draft Mission Order on Project Design , no date

#### Other documents:

- USAID/Peru CDCS Process and Lessons Learned, June 2010

### *Senegal*

#### Evaluation SOWs

- Basic Education (EDB) Midterm Evaluation SOW
- Community Health Program Final Evaluation SOW
- Social Marketing Program Evaluation SOW
- Health Care Policy and Financing Program Mid-Term Evaluation SOW
- Economic Growth Project Task Order # 5 Midterm Evaluation SOW
- USAID/Senegal Water and Sanitation Project (USAID/PEPAM) Performance Evaluation SOW
- Fixed Amount Reimbursement Program (FAR) Midterm Evaluation SOW

#### Mission Orders

- USAID/Senegal Framework for Monitoring and Evaluating Program Performance Mission Order (MO203-4), August 17, 2011
- USAID/Senegal Project Design and Approval Process Mission Order (MO201-2), April 30, 2012

Project Design Documents

- Project Appraisal Document, World Bank, no date
- Project Appraisal Document, Expanding Educational and Employment Opportunities for Mauritania Youth, no date
- Project Appraisal Document, Inclusive Electoral and Political Process Reform Program (EPPR), no date

Other Documents

- USAID/Senegal Overview

## Appendix 5. DATA COLLECTION INSTRUMENTS

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### ONLINE SURVEYS

The online surveys used in this evaluation are included as separate attachments, and can be found at the following locations. PPL Staff Survey: [http://pdf.usaid.gov/pdf\\_docs/PNAEC228.pdf](http://pdf.usaid.gov/pdf_docs/PNAEC228.pdf); Mission and USAID/Washington Staff Survey: [http://pdf.usaid.gov/pdf\\_docs/PNAEC227.pdf](http://pdf.usaid.gov/pdf_docs/PNAEC227.pdf).

### SEMI-STRUCTURED INTERVIEW GUIDES

At the beginning of all interviews and group discussions, the evaluators gave an introduction to the evaluation and an informed consent statement. While the introduction was altered slightly depending on the stakeholder involved, the informed consent statement was uniform throughout the qualitative data collection. As an illustration, below is the instruction and informed consent statement given to Mission staff during case study research:

#### Introduction and informed consent statement

Thank you very much for setting aside time to talk with us today.

As you may know, EnCompass has been engaged by the Bureau of Program Planning and Learning to assess the effectiveness, utility and extent to which PPL policies, reforms and activities are influencing USAID planning, programming, operations, and budgetary decision-making, especially at the Mission level. We are taking a mixed methods approach to data collection that includes interviews and group discussions with a variety of stakeholders, a survey that will be deployed to USAID staff worldwide, and five in-depth country case studies, where we are taking a deeper look at the processes surrounding the Program Cycle. This evaluation is

not an evaluation of the Mission, but of PPL's support to the Mission and other parts of the Agency regarding implementation of the Program Cycle.

Before we begin this interview, I want to let you know that any information or examples we discuss during this interview process will not be attributed to any specific person. All quotes in the evaluation report and case study will be attributed to a general stakeholder group (e.g. Mission, Donor, IP, government), not by individual and all identifying information will be removed. You are free to not respond to any of our questions or stop the interview at any time.

The interview will take about one hour.

Before we begin, do you have any questions about this interview?

## INTERVIEW GUIDE: MISSION STAFF

### Background

1. **I would like to start with your history here in [COUNTRY] and USAID overall.**

*How long you have been working in this Mission?*

*In what capacity do you work at USAID now?*

*How long have you been working at USAID?*

### Introduction and awareness of the Program Cycle guidance

2. **How did you come to know about the Program Cycle components and how you were to be implementing them?**

*Probe or listen for directives, training, TA visit, etc.*

3. **Let's talk about your role (from where you sit) in the Program Cycle.**

How clear do you feel about your specific role?

How empowered do you feel to carry out that role?

How prepared do you feel you are to carry out that role?

How accountable do you feel you are in carrying out this role? And to whom?

4. **In what ways have you interacted with and made use of the program cycle guidance documents?**

### Program Cycle experience

*This evaluation of the Program Cycle and PPL's support is designed to provide important information to the agency on how to improve these processes, which were designed to help bring the 'discipline of development' back into the agency. We know that each Mission has faced challenges with the introduction of Program Cycle but we also want to learn about the strengths the Missions have brought to this process and what they have been able to achieve in improving strategy development, project planning, and evaluation and learning. We are approaching this interview with an "appreciative inquiry" lens, in order to understand the kernels of success, as well as hear the challenges you have faced.*

5. **Reflect on your experience with the Program Cycle and the overall goal of strengthening the discipline of development here in [COUNTRY], and think of a peak experience, when you felt exceptionally energized about your ability to make a**

**difference for development. Tell me a story about that time.**

**What happened? Who was involved? What was your role? What made it a good collaboration for you? What kind of follow up was needed and pursued? How did it benefit development for the country?**

6. **What parts of the Program Cycle have you been involved with here in [COUNTRY]?**

*Note down if they had experience in other missions.*

7. **Generally speaking, what parts of the Program Cycle process do you feel have gone well here in [COUNTRY]?**

If you had one wish that would improve the process, what would it be?

*If they have not been involved, but have had to work with the product of previous components, they can speak to that.*

8. **Some components of the Program Cycle have set processes and timeframes to follow. In what ways has the Mission been able to follow these processes and timeframes? What has supported adherence? What has hindered adherence?**

### Collaboration and consultation

*Because the program cycle builds from collaboration, consultation and coordination, I would like to spend a few minutes exploring how these happened here in [COUNTRY].*

9. **Tell me about how you or your Office has engaged others in various parts of the Program Cycle:**

Related to the CDCS process?

Related to Project Design?

Related to evaluation?

Related to learning?

*Probe for who was involved, how they were involved, when? How deep? How broad?*

*Probe for consultations -- within the Mission; with State and other USG agencies; with the Host Government; with implementing partners; with donors; with civil society and private sector?*

10. **What challenges did you face in this consultation process? How did you overcome them?**

### Use of evidence

11. **Clearly, the new guidance encourages the use of evidence extensively in your development work. Think back to an occasion related to any part of the Program Cycle where you used evidence in a significant way in your development work. Tell us about it.**

*Probe for what happened; the purpose and scope of reviewing evidence; a one-off or regular use of evidence; who was involved and their role; how the evidence was used, and what made it appropriate and useful*

12. **How have you been able to prioritize the use of evidence in your work?**

In what instances and in what ways do you feel you have been most successful?

Where have you faced the greatest challenges? How have you overcome them or dealt with them?

### Integrating evaluation

13. **PPL guidance has put a greater emphasis on evaluation than in the past. Tell us about how the Mission has approached performance monitoring and evaluation, under the new evaluation policy and guidance.**

What kind of opportunities has this strategy opened up for the Mission?

What kinds of challenges did you face in integrating evaluation more explicitly into work here in [COUNTRY]? How did you overcome them?

*Probe for the support needed and received from experts; the types and number of evaluations needed.*

### Alignment

*The Program Cycle asks Missions to align their strategies and projects with many different pieces – Agency policies, host government priorities, other donors' efforts. I would like to focus for a few moments on some of the Agency's policies: the GCC strategy and the GEFE policy.*

14. **Tell me about how this Mission has approached integration of climate change into its portfolio, into the CDCS development and in relevant PADs.**

*Probe for any required assessments.*

What kind of opportunities has this strategy opened up for the Mission?

What kinds of challenges did you face in integrating climate change work here in [COUNTRY]? How did you overcome them?

*Probe for the support needed and received from experts; the kinds of assessments or evaluations needed to do program and project design, when in the Program Cycle, they were conducted.*

15. **Let's talk now about the gender equality and female empowerment policy. This policy requires a number of specific actions, across the Program Cycle.**

What kind of opportunities has this policy opened up for the Mission?

*Probe for whether they conducted a gender analysis and whether it informed implementation of the CDCS and related projects.*

What kinds of challenges did you face in integrating gender equality and female empowerment throughout the Program Cycle here in [COUNTRY]? How did you overcome them?

*Probe for the support needed and received from experts; the kinds of assessments or evaluations needed to do programming, integration into the CDCS, Project Design, evaluations.*

### PPL Support to the Program Cycle

16. **Think about your experience in this Mission (or others) implementing the Program Cycle (CDCS, PD, evaluation, learning, etc). Where have you felt the greatest need for support:**

From inside the Mission?

*Prompt for program office, prompt for communication of guidance to Mission staff.*

From outside the Mission?

*Probe for what kind of support and from whom.*

**17. What kinds of support did you seek out?**

*Probe for Service Center, Program Net, PPL, etc.*

**18. What support did you receive or make use of? Tell me about how you made use of them and how they helped (or didn't).**

*Probe for training, consultation, ProgramNet, tools, guidance, visits, and when.*

**19. How accessible, relevant and useable did you feel these supports were?**

*Probe specifically for those they used.*

**Organizational culture**

**20. I'd like to step back and talk about USAID's organizational culture. What kind of impact have you seen in how the Mission approaches its strategies and programming since the establishment of PPL and dissemination of USAID policies and guidance? In what ways is it different from before?**

**21. Of course, the primary goal of the Program Cycle is to help Missions achieve more effective development outcomes. In your opinion, how well do the Program Cycle guidance and PPL's support of that guidance support you in achieving better development outcomes for this country?**

**Conclusion**

**22. If you were granted three wishes for the Program Cycle, what would they be?**

**23. What is the most important message this evaluation should give to PPL about the Program Cycle?**

**24. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?**

**25. Just before we finish the interview, I would like to know what documents or resources you recommend that would be useful to the evaluation team as we continue our data collection.**

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?**

**INTERVIEW GUIDE: MISSION LEADERSHIP**

**1. You have a historic view and you sit at the apex of the agency here. We wanted to get a feel from you about how effective you think PPL has been and the kinds of support you have received or not received to improve the process here. We'd like to hear your perspective on the Program Cycle, policies, and support around the CDCS, PD and Learning.**

2. From where you sit, what support have you received from PPL or elsewhere in the agency that has really helped you advance the Mission's implementation of the Program Cycle?
3. How do you see the relationship between PPL and PPD in terms of support provided from PPL to PPD?
4. How and where does PPL fit into being a premiere development agency?
5. What change in behaviors have you seen around the behavior changes being pushed by Raj?

## INTERVIEW GUIDE: MISSION STAFF INVOLVED IN M&E

### Background

1. I would like to start with your history here in [COUNTRY] and USAID overall.

How long you have been working in this Mission?

How long have you been working at USAID?

How have you been involved with M&E activities here in [COUNTRY]?

### M&E Experience

*This evaluation of the Program Cycle and PPL's support is designed to provide important information to the agency on how to improve these processes, which were designed to help bring the 'discipline of development' back into the agency. We know that Missions have faced challenges in the area of M&E, but we also want to learn about what is working well, and what you have been able to achieve in this area. We are approaching this interview with an "appreciative inquiry" lens, in order to understand the kernels of success, as well as hear about the challenges you have faced.*

2. Reflect on your experience with monitoring and evaluation and its role in strengthening the discipline of development here in[COUNTRY], and think of a peak experience, when you felt exceptionally energized about how M&E has been used to make a difference for development. Tell me a story about that time.

What happened? Who was involved? What was your role? What made it a good experience for you? What kind of follow up was needed and pursued? How did it benefit development for the country?

### Use of evidence

2. Clearly, the new guidance encourages the use of evidence extensively in development work. Think back to an occasion related to any part of the Program Cycle where you used evidence in a significant way? Tell us about it.

*Probe for what happened; the purpose and scope of reviewing evidence; a one-off or regular use of evidence; who was involved and their role; how the evidence was used, and what made it appropriate and useful.*

3. How have you been able to prioritize the use of evidence in the work at the Mission? In what instances and in what ways do you feel you have been most successful?

Where have you faced the greatest challenges? How have you overcome them or dealt with them?

### Effectiveness of M&E Processes

*It is important that M&E systems and processes are appropriately aligned with the development objectives and intermediate results that the Mission has set out to achieve. This is to ensure that the data being captured will meaningfully measure whether progress is being achieved.*

4. **In what ways do you feel that the M&E systems and processes here in [COUNTRY] are effectively measuring the Mission's intended objectives and intermediate results?**

What needs to be done to continue to have success like this?

5. **In what ways do you think the M&E systems and processes are not capturing what is needed to measure development objectives and intermediate results?**

What is needed to overcome these issues?

### Overall Quality of M&E

6. **Of course the ability of M&E to produce meaningful and useful information depends on the quality of the information being produced.**

7. **Thinking back over the past year, in what ways do you feel that the M&E activities at the Mission have been exceptionally effective?**

What needs to be done to continue to have success like this?

8. **In what ways do you feel the quality of the M&E work has not been as good as it could be?**

What is needed to overcome these issues?

9. **Of course, ideally, M&E should be conducted quite regularly throughout the Program Cycle. Is the Mission doing M&E regularly enough?**

### Gender

10. **The Program Cycle guidance notes the importance of incorporating gender into M&E activities. How has the Mission incorporated gender into its M&E work?**

*Probe for what has happened, how gendered findings have been used, what challenges have been faced?*

### Learning

11. **One of the important goals of M&E is to advance learning, with knowledge from M&E being used to inform strategy and programmatic decisions. How is the Mission prioritizing learning?**

*Probe for what happened; a one-off or regular learning mandate; who was involved and their role; how the learning was used, and what made it appropriate and useful.*

### Collaboration and consultation

12. **The Program Cycle guidance calls for collaboration with partners and stakeholders on monitoring and evaluation. This can be in terms of involving partners and stakeholders in monitoring processes, exchanging knowledge, filling gaps in knowledge, and testing new ideas. Tell me how you, or the Mission has engaged others in the area of:**

Monitoring and Evaluation?

Learning?

*Probe for who was involved, how they were involved, when? How deep? How broad?*

*Probe for consultations -- within the Mission; with State and other USG agencies; with the Host Government; with implementing partners; with donors; with civil society and private sector?*

13. **What challenges did you face in collaborating with others on M&E? How did you overcome them?**

#### Perception of Mission role

14. **PPL guidance has put a greater emphasis on evaluation than in the past. Tell us about how the Mission has approached performance monitoring and evaluation, under the new evaluation policy and guidance.**

Overall, how has M&E been incorporated into the day to day work of Mission staff?

What kind of opportunities has this strategy opened up for the Mission?

What kinds of challenges did you face in integrating evaluation more explicitly into work here in [COUNTRY]? How did you overcome them?

*Probe for the support needed and received from experts; the types and number of evaluations needed.*

#### Program Cycle Guidance in the area of M&E

15. **Let's talk about your role in M&E (from where you sit) in the Program Cycle.**

How clear do you feel about your specific role?

How empowered do you feel to carry out that role?

How prepared do you feel you are to carry out that role?

How accountable do you feel you are in carrying out this role? And to whom?

16. **In what ways have you interacted with and made use of the program cycle guidance documents with respect to your M&E work?**

#### PPL Support to the M&E activities

17. **Think about your experience in this Mission (or others) implementing M&E activities. Where have you felt the greatest need for support:**

From inside the Mission?

*Prompt for program office, prompt for communication of guidance to Mission staff.*

From outside the Mission?

*Probe for what kind of support and from whom.*

18. **What kinds of support did you seek out?**

*Probe for Service Center, Program Net, PPL, etc.*

19. **What support did you receive or make use of? Tell me about how you made use of them and how they helped (or didn't).**

*Probe for training, consultation, ProgramNet, tools, guidance, visits, and when.*

20. How accessible, relevant and useable did you feel these supports were?

*Probe specifically for those they used.*

### Organizational culture

21. I'd like to step back and talk about USAID's organizational culture. What kind of impact have you seen in how the Mission approaches monitoring and evaluation since the establishment of PPL and dissemination of USAID policies and guidance? In what ways is it different from before?

### Impact

22. Of course, the primary goal of the M&E guidance in the Program Cycle is to help Missions achieve more effective development outcomes. In your opinion, how well do the M&E guidance and PPL's support of that guidance support you in achieving better development outcomes for this country?

### Conclusion

23. If you were granted three wishes to improve M&E here at the Mission, what would they be?

24. What is the most important message this evaluation should give to PPL about M&E?

25. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?

26. Just before we finish the interview, I would like to know what documents or resources you recommend that would be useful to the evaluation team as we continue our data collection.

THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?

## INTERVIEW GUIDE: MISSION STAFF, GENDER EQUALITY AND FEMALE EMPOWERMENT POLICY

### Background

1. I would like to start with your history here in [COUNTRY] and USAID overall.

How long you have been working in this Mission?

In what capacity do you work at USAID now?

How long have you been working at USAID?

2. What are the roles and responsibilities of the Gender Committee?

3. How have you (individually) been involved in the Program Cycle

### UNDERSTANDING AND KNOWLEDGE OF THE GEFE POLICY

4. In what ways is the Gender Policy clear to you?

## GEFE POLICY AND THE PROGRAM CYCLE

5. How has the Mission approached gender integration into its portfolio, the CDCS, PADs, M&E, learning?

*PROBE: assessments, opportunities, challenges, support received and needed.*

6. In what ways has the Mission used evidence on gender inequality?

*PROBE: What has been successful? What have been the challenges?*

## Collaboration and consultation

7. In what ways have you engaged others around gender equality and female empowerment?

*PROBE: Who was involved, how they were involved, when? How deep? How broad? Consultations? (within the Mission; with State and other USG agencies; with the Host Government; with implementing partners; with donors; with civil society and private sector)?*

8. What challenges have you faced? How did you overcome them?

## PPL AND OTHER BUREAU SUPPORT

9. What support have you received around implementation of the GEFE policy? What support did you seek out? What was useful for you?

*Probe for training, consultation, ProgramNet, tools, guidance, visits.*

## Organizational culture

10. Since the GEFE policy was launched in March 2012, what changes have you seen in the Mission's approaches to gender equality and female empowerment?

## Conclusion

11. Reflecting on how the GEFE policy is integrated and diffused here, what one wish do you have to improve implementation of that policy?
12. What is the most important message this evaluation should give to PPL about implementation of the GEFE policy?
13. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?
14. Just before we finish the interview I would like to know what documents or resources you recommend that would be useful to the evaluation team as we continue our data collection.

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?**

## INTERVIEW GUIDE: MISSION STAFF, CLIMATE CHANGE AND DEVELOPMENT STRATEGY

### Background

1. I would like to start with your history here in [COUNTRY] and USAID overall.

*How long you have been working in this Mission?*

*In what capacity do you work at USAID now?*

*How long have you been working at USAID?*

**2. What can you tell us about the climate change strategy?**

**Alignment**

**3. How has the Mission approached integration of climate change into its portfolio, into the CDCS development and into relevant PADs.**

*Probe for:*

- *Any required assessments.*
- *Opportunities this strategy has opened up for the Mission.*
- *Challenges and how they were overcome.*
- *Support needed and received.*

**4. How is this Mission considering climate change?**

*Probe for CDCS, project design, research design, partnerships, training of staff.*

**5. In what ways have you interacted with and made use of the climate change strategy?**

**Use of evidence**

**6. How has research on climate change informed development investments?**

*What has gone well? What can be improved?*

**7. How have you been able to prioritize the use of evidence on climate change?**

*What has been successful? What can be improved?*

**Integrating evaluation**

**8. How is climate change integrated into monitoring and evaluation?**

**Collaboration and consultation**

**9. How you have engaged others in the areas of climate change?**

*Probe for*

- *Who was involved, how they were involved, when? How deep? How broad?*
- *Consultations within the Mission; with State and other USG agencies; with the Host Government; with implementing partners; with donors; with civil society and private sector?*

**10. What challenges have you faced in collaborating with others? How did you overcome them?**

**PPL and other Bureau Support**

**11. What kind of support have you received around implementation of the GCC strategy? What support has been most useful? What kind of support do you need?**

*Probe for Service Center, ProgramNet, training, consultation, tools, guidance, visits, PPL, other Bureaus.*

### Organizational culture

12. Since the advent of the climate change strategy, what changes have you seen in the Mission's approaches?

### Conclusion

13. If you were granted three wishes to ensure full integration of the climate change and development strategy into the Mission's work, what would they be?
14. What is the most important message this evaluation should give to PPL about implementation of the climate change and development strategy?
15. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?
16. Just before we finish the interview, I would like to know what documents or resources you recommend that would be useful to the evaluation team as we continue our data collection.

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS.** Do you have any questions for me/us?

## INTERVIEW GUIDE: STATE DEPARTMENT OR OTHER USG AGENCIES

### BACKGROUND

1. I would like to start with your history here in [COUNTRY] and your organization overall.

How long you have been working in this Mission?

In what capacity do you work at [State/other USG] now?

How long have you been working at [State/other USG]?

### Engagement

2. Reflect on your consultations with USAID and remember a time when you experienced a good collaboration on any topic and issue. And tell me a story about that time.

What happened? Who was involved? What was your role? What made it a good collaboration for you? What kind of follow up was needed and pursued? In what way do you feel that USAID incorporated any suggestions you made? How did it benefit development for the country?

3. USAID developed a Country Development Cooperation Strategy in [COUNTRY], the new strategy for [period], and is now embarking on the project planning process. Please tell us about how you and your Agency were engaged in the development of the strategy, and any projects that are being planned under that strategy?

How often were you consulted throughout the process? In what format?

What kinds of inputs and contributions were you asked for?

- a. Analysis and evidence
  - b. Consultation and alignment with priorities
  - c. Exploration of possible leveraging of resources and non-assistance tools
  - d. Review of draft documents
  - e. Review of evidence and lesson from evaluation
  - f. Broader technical discussions
  - g. Other?
4. **What did you appreciate most about the way you and your Agency were engaged in this process? What do you wish had been different?**
  5. **In what ways is USAID's Country Development Cooperation Strategy or any of the projects it is embarking upon aligned, harmonized, or leveraging with your organization's priorities and programs?**

In what ways could they be more aligned or harmonized?

How well do you feel USAID made efforts to harmonize, align and coordinate aid efforts in this process?

#### **Evaluation, Monitoring, Learning, and Adapting**

*While evidence and evaluation have always been part of USAID's approach to development, they have come more sharply into focus with the reforms.*

6. **What are some recent examples of ways you have seen USAID incorporate evidence (studies, evaluations, statistics, lessons learned) into its discussions on strategy and project design?**
7. **What shifts, if any, have you noticed in USAID's emphasis on evidence in strategy development, project design, and learning?**
8. **In what way has USAID engaged you in planning and implementation of evaluation? In monitoring? In deriving learning and adaptation?**

#### **Perception of Organizational Change**

9. **What changes in USAID/[COUNTRY]'s approach to development have you observed over the last two years? How have those changes affected your work and your collaboration with USAID?**
10. **If you had one wish for how to strengthen USAID's engagement with your Agency, what would they be?**

#### **Concluding Questions**

11. **Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?**

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?**

### **INTERVIEW GUIDE: HOST GOVERNMENTS**

#### **BACKGROUND**

1. **Perhaps we could start by you telling us about your role in Government and relationship with USAID?**

- a. How long have you been working in Government? In this position?
- b. In what occasions have you been engaged with USAID?

### Engagement

2. **Reflect on your consultations with USAID and remember a time when you experienced a good collaboration on any topic and issue. And tell me a story about that time.**

What happened? Who was involved? What was your role? What made it a good collaboration for you? What kind of follow up was needed and pursued? In what way do you feel that USAID incorporated any suggestions you made? How did it benefit development for the country?

3. **USAID developed a Country Development Cooperation Strategy in [COUNTRY], the new strategy for [period], and is now embarking on the project planning process. Please tell us about how you and your Government were engaged in the development of the strategy, and any projects that are being planned under that strategy?**

How often were you consulted throughout the process? In what format?

What kinds of inputs and contributions were you asked for?

- a. Analysis and evidence
  - b. Consultation and alignment with priorities
  - c. Review of draft documents
  - d. Review of evidence and lesson from evaluation
  - e. Broader technical discussions
  - f. Other?
4. **What did you appreciate most about the way you and your Government were engaged in this process? What do you wish had been different?**
  5. **In what ways are USAID's development objectives (show them) in the CDCS aligned well with your government's development priorities?**
  6. **In what ways could they be more aligned or harmonized?**
  7. **How have the issues of sustainability been addressed in these processes (CDCS and Project Design)?**

In what ways have you been engaged in discussions and consultation on that topic?

How have relative roles, responsibilities and accountability been addressed during these discussions?

### Evaluation, Monitoring, Learning, and Adapting

*While evidence and evaluation have always been part of USAID's approach to development, they have come more sharply into focus with the reforms.*

8. **What are some recent examples of ways you have seen USAID incorporate evidence (studies, evaluations, statistics, lessons learned) into its discussions on strategy and project design?**
9. **What shifts, if any, have you noticed in USAID's emphasis on evidence in strategy development, project design and learning?**

10. In what ways has USAID engaged you in planning and implementation of evaluation?  
In monitoring? In deriving learning and adaptation?

#### Perception of Organizational Change

11. What changes in USAID/[COUNTRY]'s approach to development have you observed over the last two years? How have those changes affected your work and your collaboration with USAID?
12. If you had three wishes for how to strengthen USAID's engagement with your government related to their country strategies and projects, what would they be?

#### Concluding Questions

13. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?

THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?

### INTERVIEW GUIDE: DONORS

#### BACKGROUND

1. **Background of participant:** Perhaps you could start by telling us about your role in your organization? How long have you been working for the organization?
2. **Relationship with USAID:** In what ways do you engage with USAID?

#### Engagement

3. **Reflect on your consultations with USAID, and remember a time when you experienced a good collaboration on any topic and issue. And tell me a story about that time.**

What happened? Who was involved? What was your role? What made it a good collaboration for you? What kind of follow up was needed and pursued? In what way do you feel that USAID incorporated any suggestions you made? How did it benefit development for the country?

4. **USAID developed a Country Development Cooperation Strategy in [COUNTRY], the new strategy for [period], and is now embarking on the project planning process. Please tell us about how you and your organization were engaged during the development of the strategy, and any projects that are being planned under that strategy?**

How often were you consulted throughout the process? In what format?  
What kinds of inputs and contributions were you asked for?

- a. Analysis and evidence
- b. Consultation and alignment with priorities
- c. Review of draft documents
- d. Review of evidence and lesson from evaluation
- e. Broader technical discussions
- f. Other?

5. **What did you appreciate most about the way you and your organization were engaged in this process? What do you wish had been different?**
6. **How well aligned do you feel USAID's strategy is with the [COUNTRY] government's priorities?**
7. **In what way is USAID's Country Development Cooperation Strategy or any of the projects it is embarking upon, aligned, harmonized, or leveraging with your organization's priorities and programs?**  

In what ways could they be more aligned or harmonized?

How well do you feel USAID made efforts to harmonize, align and coordinate aid efforts in this process?
8. **To what degree do you feel the "division of labor" between USAID and your organization is clear in areas where you are both engaged?**

#### **Evaluation, Monitoring, Learning, and Adapting**

*While evidence and evaluation have always been part of USAID's approach to development, they have come more sharply into focus with the reforms.*

9. **What are some recent examples of ways you have seen USAID incorporate evidence (studies, evaluations, statistics, lessons learned) into its discussions on strategy and project design?**
10. **What shifts, if any, have you noticed in USAID's emphasis on evidence in strategy development, project design, and learning?**
11. **In what ways has USAID engaged you in planning and implementation of evaluation? In monitoring? In deriving learning and adaptation?**

#### **Perception of Organizational Change**

12. **What changes in USAID/[COUNTRY]'s approach to development have you observed over the last two years? How have those changes affected your work and your collaboration with USAID?**
13. **If you had one wish for how to strengthen USAID's adherence to the Paris Declaration principles and a better development partner, what would you recommend?**

#### **Concluding Questions**

14. **Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?**

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?**

### **INTERVIEW GUIDE: IMPLEMENTING PARTNERS**

#### **BACKGROUND**

1. **To start, we'd like to get some background information. How long have you worked on USAID projects in [COUNTRY] and globally?**

*What is the nature of this work? Which project? Who is your COR / AOR?*

### KNOWLEDGE OF AND INVOLVEMENT IN THE PROGRAM CYCLE

2. What is your understanding and knowledge of USAID's Program Cycle and your role in that Cycle?
3. In what ways has the Mission involved you in any of the 6 components of the Program Cycle?
4. What guidance were you provided on how to undertake / participate in this component?
5. In what ways are your work products / participation in this component better because of your participation?
6. How have you influenced USAID in any of these areas?
7. If you were granted three wishes for improving USAID's processes and interactions with its implementing partners related to implementation of the Program Cycle, what would they be?

*In what ways do you feel USAID has made efforts to harmonize, align and coordinate aid efforts in this process?*

8. How well has USAID/[COUNTRY] tried to align its priorities with the local government?

### PERCEPTION OF ORGANIZATIONAL CHANGE

9. What changes have you observed in USAID since PPL was established in 2010?

*Probe for learning, M&E, policies (esp. GEFE, M&E), strategies (esp. GCC), discipline, evidence-based...*

### Concluding Questions

10. Is there anything else that you want to tell me but didn't because I didn't ask the right question? Any other comments/insights/questions you would like to share?

**THANK YOU VERY MUCH FOR YOUR TIME AND INSIGHTS. Do you have any questions for me/us?**

## GROUP DISCUSSION GUIDES

### FACILITATED GROUP DISCUSSION: MISSIONS (FSOS AND FSNS)

All information gathered here will be held anonymously. It may be attributed to “Country Mission,” “FSO,” or “FSN,” but not to an individual person or type of staff. Please respect everyone’s confidentiality here and make the commitment that whatever is said in this room stays in this room.

- What are the 6 components of the Program Cycle?
- Where is your Mission in Program Cycle implementation?
- What components have you started?
- Which ones have you fully implemented and incorporated into you Mission’s operations?
- What are the clear successes of Program Cycle Implementation in the Mission?
- What other challenges have emerged?
- Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized in your Mission.
  - What actions made this possible?
  - What supports did you receive to make this happen?
  - What role did PPL play in this success?
  - What role did others in the Agency play in this success?
- What’s most exciting about these ideas of the future?
- What stands out to you?
- What concerns you?

#### Handout 1.A Implementing the Program Cycle

Take a moment to reflect on the 6 components of the Program Cycle in which you have been engaged.

Individually (OR In your table group), reflect (OR discuss) the following questions and write your responses on colored cards:

1. ***What has enabled and supported implementation of the Program Cycle in your Mission?***

Write your responses on a green card; one response per card.



2. ***What constraints have your Mission faced implementing the Program Cycle?***

Write your responses on a yellow card; one response per card.

### **Handout 1.B Institutionalization of the Program Cycle**

Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized in your Mission.

1. What actions at the Mission made this possible?
2. What supports did you receive to make this happen?
3. What role did PPL play in this success?
4. What role did others in the Agency play in this success?

### **FACILITATED GROUP DISCUSSION: PPL**

All information gathered here will be held anonymously. It may be attributed to “PPL” but not to an individual person or type of staff. Please respect everyone’s confidentiality here and make the commitment that whatever is said in this room stays in this room.

- Which of the six PC components do you apply to their work here in HQ?
- Which of these components support Missions?
- What factors internal to PPL enable or constrain its effectiveness related to the Program Cycle?
- What factors external to PPL enable or constrain its effectiveness related to the Program Cycle?
- What are the clear successes of Program Cycle Implementation in the Mission?
- What other challenges have emerged?
- Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized in the Agency.
  - What actions from PPL made this possible?
  - What supports did you receive to make this happen?
  - What role did USAID/W play in this success?
  - What role the Missions play in this success?
- What’s most exciting about these ideas of the future? What stands out to you?
- What concerns you?

### Handout 1.A Implementing the Program Cycle

Take a moment to reflect on the 6 components of the Program Cycle in which you have been engaged.

Reflect on the following questions and write your responses on colored cards:

1. **What factors internal to PPL have enabled support for implementation of the Program Cycle?**
2. **What factors outside of PPL have enabled support for implementation of the Program Cycle?**
3. **What would you improve internally within PPL to strengthen support for implementation of the Program Cycle?**
4. **What would you improve outside of PPL to strengthen support for implementation of the Program Cycle?**



### Handout 1.B Institutionalization of the Program Cycle

Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized across the Agency.

1. What actions from PPL have made this possible?
2. What support did you receive to make this happen?
3. What role did USAID/W play in this success?
4. What role did Missions play in this success?

### FACILITATED GROUP DISCUSSION: REGIONAL AND PILLAR BUREAUS

All information gathered here will be held anonymously. It may be attributed to “Regional Bureau” or “Pillar Bureau,” but not to an individual person or type of staff. Please respect everyone’s confidentiality here and make the commitment that whatever is said in this room stays in this room.

- Who has participated in any training on the Program Cycle? (PFA, PDM, APD,

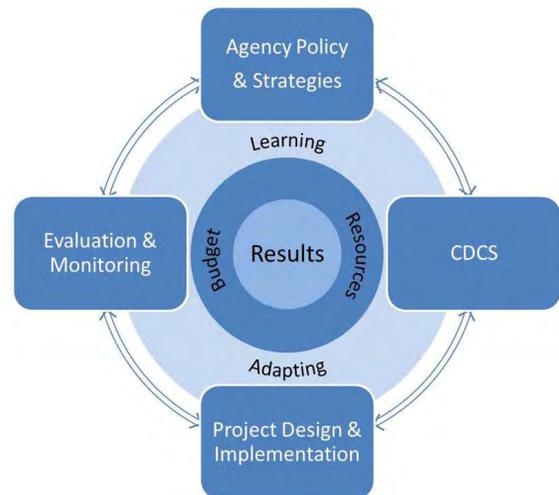
COR/AOR, Evaluation, Gender)

- What are the 6 components of the Program Cycle?
- Which of these components do you apply to you work?
- In which of these components do you support Missions?
- What support you in your work around the Program Cycle?
- What constraints do you face in your work around the Program Cycle?
- What are the clear successes of Program Cycle Implementation at Missions?
- What challenges have emerged?
- Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized in the Agency.
  - What actions on your part in this Bureau made this possible?
  - What support did you receive to make this happen?
  - What role did PPL play in this success?
  - What role did others in the Agency play in this success?
- What's most exciting about these ideas of the future? What stands out to you?
- What concerns you?

### Handout 1.A Implementing the Program Cycle

Take a moment to reflect on the 6 components of the Program Cycle in which you have been engaged.

Individually (OR In your table group), reflect (OR discuss) the following questions and write your responses on colored cards:



1. ***What has enabled and supported implementation of the Program Cycle in your Bureau?***
2. ***What has enabled and supported implementation of the Program Cycle at the Missions you support?***
3. ***What constraints has your Bureau faced implementing the Program Cycle?***
4. ***What has constrained implementation of the Program Cycle at the Missions you support?***

Write your responses for your Bureau on a green card; one for the Missions on a yellow card; one response per card.

## Handout 1.B Institutionalization of the Program Cycle

Imagine it is 2015 and all six components of the Program Cycle are fully institutionalized across the Agency.

1. What actions from your Bureau made this possible?
2. What support did you receive to make this happen?
3. What role did PPL play in this success?
4. What role did others in the Agency play in this success?

## FACILITATED GROUP DISCUSSION: IMPLEMENTING PARTNERS

All information gathered here will be held anonymously. It may be attributed to “Implementing Partner” but not to an individual person or type of staff. Please respect everyone’s confidentiality here and make the commitment that whatever is said in this room stays in this room.

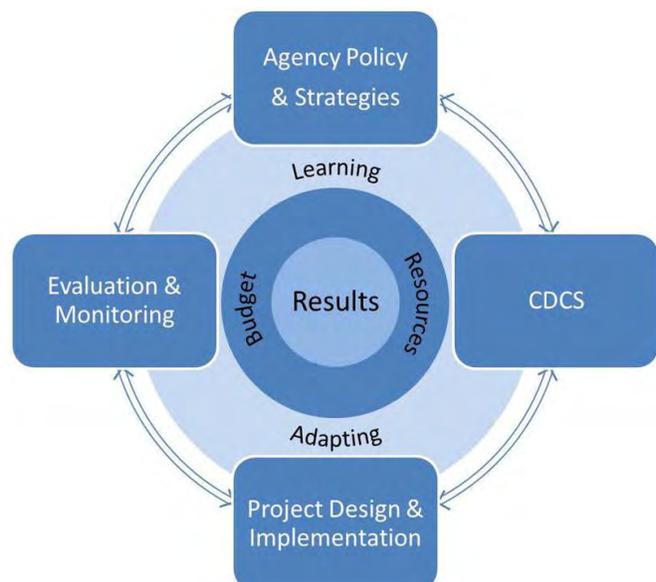
- What do you know about USAID’s Program Cycle?
- To what the extent has the Mission involved you in any of the 6 components of the Program Cycle?
- What changes you have observed in USAID since 2011?

## Handout 1.A Three Wishes USAID to support implementing partners understanding of the Program Cycle

Reflect on what you know about USAID’s Program Cycle and your role and responsibilities as an implementing partner in that Cycle.

*If you were granted three wishes for improving USAID’s processes and interactions with its implementing partners related to implementation of the Program Cycle, what would they be?*

(1)



(2)

(3)

**CHECKLISTS**

**CDCS DOCS REVIEW GUIDANCE**

**A. Development Context, Challenges and Opportunities**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	<b>Does the CDCS describe the development context?</b> This section should cite economic, social, political, governance, and demographic indices, and identify important national and regional trends in security, economic development, political dynamics and special circumstances related to state fragility, conflict, or post-conflict transitions.			
2	<b>Does the CDCS discuss the overarching U.S. foreign policy and national security considerations in the country?</b>			
3	<b>Does the CDCS highlight the most important development challenges and opportunities facing the host country? Do the development challenges and opportunities identified in the CDCS reflect the analyses found in this first chapter?</b>			
4	<b>Is the CDCS evidence based and does it provide relevant analysis?</b> The challenges and opportunities described should be based on evidence and analysis drawn from relevant studies and data, including the country’s poverty reduction strategy; World Bank and International Monetary Fund assessments; geospatial analysis; and research, evaluations, and analysis commissioned by USAID, other USG agencies, other donors, the private sector, and independent policy research organizations.			
<b>POSSIBLE POINTS</b>			<b>4</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

**B. Development Hypothesis**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	<b>Is the CDCS based upon a sound development hypothesis that describes the theory of change, logic, and causal relationships principal development results?</b> <b>This section explains why and how the proposed investments from USAID and others collectively lead to achieving the DOs and ultimately the CDCS Goal.</b>			

2	<b>Is the development hypothesis clearly articulated?</b> It includes a short narrative that explains the relationships between each layer of results (in the Results Framework, upwards from the sub-Intermediate Results (sub-IRs), to the IRs, the DOs, and the CDCS Goal.		
3	<b>Is there an identified theory of change that underlies the development hypothesis?</b> A theory of change is the conceptual framework of causal relationships that explains the logic framed in the development hypothesis. The CDCS is based upon a sound development hypothesis that describes the theory of change, logic, and causal relationships between the building blocks needed to achieve a long-term goal		
<b>POSSIBLE POINTS</b>		<b>3</b>	
<b>TOTAL</b>		<b>0</b>	
<b>Percentage</b>		<b>0%</b>	

**C. The Results Framework**

*(RF includes: CDCS Goal, Development Objectives, Intermediate Results, sub-Intermediate Results and Performance Indicators)*

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	<b>Is the RF presentation based on the standardized design format found in the guidance and supported by accompanying narrative that addresses how USAID can best address the specific development challenges and opportunities identified by the Mission, based on evidence, to achieve its DOs and CDCS Goal, including:</b>			
a	Does the RF demonstrate that the Mission is progressing toward the CDCS Goal as it advances toward achieving the DOs?			
b	Do the indicators demonstrate that there is movement towards the achievement of the Goal?			
c	Does the CDCS Goal reflect the cumulative impact of the DOs and capture the RF's internal logic, i.e. if the DOs are accomplished or advanced, progress will be made toward achieving the CDCS Goal?			
d	Does the CDCS specify any other <u>critical elements</u> , in addition to the DOs, that are necessary to achieve the CDCS Goal such as host country commitments, results from other donors, and factors outside of USAID's control?			
e	Do the CDCS Goal and associated DOs show progress toward <u>sustainability</u> and a reduction of future USAID support as appropriate?			

f	Are the roles of USAID and its partners in helping to achieve the CDCS Goal described in the RF narrative, including the specific contributions of the host country government, civil society, private sector, State Department, other USG agencies, and other donors as appropriate?			
g	Do indicators demonstrate that the CDCS Goal (or progress toward the CDCS Goal) is measurable and achievable?			
h	Are the DOs based on the strategic priorities defined by the Mission, not solely on the size of the supporting assistance programs?			
<b>POSSIBLE POINTS</b>			<b>8</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	
2	<b>Do DOs, with supporting IRs, provide evidence to answer the following questions as part of the RF narrative:</b>			
a	Do the DOs contribute to the CDCS Goal? Are the causal linkages clear and plausible?			
b	Is the DO based on a clear development hypothesis and strong evidence, including from evaluations conducted by the Mission?			
c	Can the intended impact of the DO be determined? Does it show the magnitude of change anticipated over the life of the CDCS?			
d	Does the DO address identified sources of conflict, fragility, instability or vulnerability, if any?			
e	Does the DO focus USAID resources?			
f	Does the DO reflect USAID's comparative advantage in the country and a division of labor with other development partners, including private sector?			
g	Does the DO take into account the political, economic, and social dynamics that influence development outcomes and impacts in the country or region?			
h	Are clear roles articulated for the host country government, civil society, and private sector and others to help achieve the DO?			
i	Does the DO narrative discuss USG diplomatic efforts or other interagency support needed to achieve the DO?			
j	Does the DO discuss reducing gaps between the status of males and females, enhancing the leadership and expertise of women and girls, and meeting their needs?			

k	Does the DO consider the particular issues associated with youth, minority groups, persons with disabilities, and lesbian, gay, bisexual, and transgender communities?			
<b>POSSIBLE POINTS</b>		<b>11</b>		
<b>TOTAL</b>		<b>0</b>		
<b>Percentage</b>		<b>0%</b>		
3	<b>Non-USAID Resources:</b>			
a	For each DO, does the CDCS narrative include assumptions about the results and impacts achieved through <u>non-USAID</u> resources, including other USG agencies, the host country government, other donors, multilateral development institutions, non-governmental organizations, and private sector organizations?			
b	Does this section outline how efforts are coordinated to create a division of labor among development actors?			
<b>POSSIBLE POINTS</b>		<b>2</b>		
<b>TOTAL</b>		<b>0</b>		
<b>Percentage</b>		<b>0%</b>		
4	<b>4. Special/Support Objectives:</b> If the Mission has proposed a Special Objective(s), has it provided a compelling reason why a DO is not appropriate to address the particular issue?			
5	<b>Focus and Selectivity:</b> Does the CDCS demonstrate that the Mission is focusing strategically to maximize the impact of USAID resources in partnership with various stakeholders? Does he CDCS address each of the following means of targeting and prioritizing USAID interventions, highlighting any trade-offs?			
a	Is there a clearly articulated <u>division of labor</u> between the Mission and other development actors, including resources and non-assistance tools, so that it can maximize the impact of its assistance and better focus in areas where it has a comparative advantage?			
b	Has the Missions proposed a <u>geographic focus</u> and whether interventions can be more effectively advanced by targeting resources in a defined area(s)? This could also include the targeting of specific populations and beneficiaries within regions, such as economically vulnerable households or particular communities.			
c	Has the Mission demonstrated and justified a prioritization of <u>sectors and sub-sectors</u> in terms of advancing the CDCS Goal?			

d	Has the Mission demonstrated its intention to build the capacity of specific <u>institutions</u> and related governance <u>systems</u> at the state (national), regional (sub-national), or local levels – or a combination of these – to achieve sustainable results?			
<b>POSSIBLE POINTS</b>			<b>4</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	
6	<b>Agency-Wide Policies and Strategies:</b> Does the CDCS reflect, as appropriate, the USAID Policy Framework for 2011-2015 and Agency-wide policies and strategies (e.g. climate change, gender, and education) formulated by PPL and approved by Agency leadership and the Administrator? There should be some reference in the RF narrative and later the CDCS to the various policies and strategies developed by PPL, e.g. Gender Strategy; if education is a primary focus (a DO) then the narrative should reflect the education policy. Policies and strategies should be incorporated or reflected within the various RF levels. Relevant analysis and evidence contained in policies and strategies may be cited to help support the CDCS analytical sections and may help to frame the development hypothesis.			
7	<b>USAID Forward:</b> Does the CDCS demonstrate how the Mission has integrated USAID Forward into the RF / narrative including working through host country systems, developing the capacity of civil society and private sector partners, and advancing the use of science technology and innovation?			
8	<b>Integrating Presidential Initiatives:</b> Does the CDCS demonstrate integration of Presidential Initiatives and strategies, where applicable, to ensure that these investments promote sustainable development outcomes by incorporating appropriate democratic governance and economic growth interventions and following the same logic as the over-arching CDCS?			
9	<b>Critical Assumptions and Risks:</b> Does the CDCS include explanations for each DO relevant critical assumptions and “game changing” scenarios, and assesses risks associated with its successful achievement? A risk factor or critical assumption lies beyond USAID’s control. For example, “Large-scale ethnic conflict surpassing the international community’s current capacity to manage or contain the conflict” would be a risk factor. For each risk factor, the CDCS assesses the degree to which the country team can identify and control critical risks. The CDCS also explains how the identified assumptions and risks will be assessed periodically.			

10	<p><b>Performance Indicators:</b> Does the RF include at least one, but no more than three performance indicators for the CDCS Goal and each DO, IR and sub-IR? As a group, the indicators should capture the intended impact of the CDCS and how this impact will be achieved. Baseline values for these indicators should be included, if available. These indicators are an important means to measure and evaluate the impact of the CDCS and progress toward achieving the results</p>		
<b>POSSIBLE POINTS</b>		<b>31</b>	
<b>TOTAL</b>		<b>0</b>	
<b>Percentage</b>		<b>0%</b>	

**D. Monitoring, Evaluation, and Learning**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	Monitoring: Does the CDCS provide the basis, i.e. well-articulated performance indicators, with baselines and targets, for the subsequent development of the Mission's Performance Management Plan?			
2	Evaluation: Does the CDCS reflect the following components of the Agency's Evaluation Policy ( <a href="http://www.usaid.gov/evaluation">http://www.usaid.gov/evaluation</a> ):			
a	Identification of high priority evaluation questions for each DO that can address: (a) the development hypotheses and key assumptions underlying the programs; (b) estimating program impact; (c) policy approach in a specific sector, and/or; (d) efficiency of the USAID implementation approach			
b	At least one opportunity for impact evaluation of a project or project component within each DO			
<b>POSSIBLE POINTS</b>			<b>2</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	
3	Learning: Does the CDCS incorporate a continuous learning approach? Learning provides for an iterative review of external changes and lessons learned from CDCS implementation. The approach should ensure that progress toward development objectives is guided by continuous learning, ongoing assessment of the causal pathway, and iterative adaptation of program implementation			

	and, where relevant, within the strategy. Does the CDCS discuss or refer to:			
a	Facilitating coordination, collaboration and exchange of experiential knowledge internally and with external stakeholders?			
b	Testing development hypotheses, filling critical knowledge gaps and addressing uncertainties in the hypotheses with new research or syntheses of existing analyses?			
c	Ensuring that new learning, innovations, and performance information gained through monitoring and evaluation inform strategy implementation?			
d	Identifying and monitoring game changers – the broad conditions that are beyond the Mission’s control but could evolve to impede strategy implementation – based on associated tripwires that may trigger programmatic and project contingencies or even changes in strategic direction?			
<b>POSSIBLE POINTS</b>			<b>4</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	
<b>POSSIBLE POINTS</b>			<b>7</b>	<b>Total for this section</b>
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

**E. Global Climate Change and Development Strategy**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	The CDCS refers to the President’s Global Climate Change Initiative			
2	The CDCS incorporates Agency Global Climate Change guidance			
3	The CDCS monitoring and evaluation plan is consistent with USAID’s new evaluation policy to assess success, scalability, and replicability of direct climate change programming and integration activities.			
<b>POSSIBLE POINTS</b>			<b>3</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

**F. Gender Equality and Female Empowerment Policy**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	A Gender Analysis was conducted as part of the analytical agenda informing the CDCS			
2	The Gender Analysis informed the formulation of CDCS results			
3	The CDCS incorporates one or more Agency-formulated indicators designed to assess progress towards increasing gender equality and female empowerment results			
4	The CDCS monitoring and evaluation plan includes either GEFE-specific indicators or sex-disaggregated indicators that measure progress toward achievement of gender equality and women’s empowerment (see indicator section) results			
5	The CDCS, at the country or subnational level, incorporates specific results that have associated targets and indicators for tracking progress relative to one of the following Agency wide policy goals: <ul style="list-style-type: none"> <li>• Reduce gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural.</li> <li>• Reduce gender-based violence and mitigate its harmful effects on individuals and communities, so that all people can live healthy and productive lives.</li> <li>• Increase capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies.</li> </ul>			
<b>POSSIBLE POINTS</b>			<b>5</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

**G. Management Requirements**

No.	Alignment Categories / Criteria With Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	Does the CDCS include a brief description of the required management resources for each of the program resource level scenarios? This description should include:			
a	Anticipated overall Operating Expense (OE) requirements			
b	Anticipated overall program-funded operational costs (PFOC) requirements, which would be included in the total program levels			

c	Anticipated staffing requirements over the life of the CDCS, including U.S. Direct Hire, Personal Service Contractors and Foreign Service Nationals, needed to implement the DO supporting programs			
2	2. Does the CDCS provide justification for the Mission's proposed staffing needs relative to the broadening or narrowing of its program? <i>Specific issues regarding the match between the staff skill set and the programmatic priorities should be noted.</i>			
<b>POSSIBLE POINTS</b>			<b>4</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

**H. Program Resources and Priorities**

No.	Alignment Categories / CriteriaWith Criteria Descriptions and Rating Guidance	Score	Value	ADHERENCE COMMENTS
1	Scenarios: Does the CDCS include two planning scenarios, that is, a base scenario and an alternative scenario, that demonstrate the sensitivity of strategy results to additional (or reduced) resources?			
2	<i>Prioritization: Are DOs prioritized? For each DO the CDCS crosswalks and prioritizes all associated concerned program areas (program elements for Health and Education) by rank order. The prioritization should be based on what is most important to achieve the CDCS Goal and priority DOs, not solely based on the levels of assistance.</i>			
<b>POSSIBLE POINTS</b>			<b>2</b>	
<b>TOTAL</b>			<b>0</b>	
<b>Percentage</b>			<b>0%</b>	

## **PAD REVIEW CRITERIA**

- Causal logic of the project maps to the CDCS at the IR or DO level
- Development problem and expected impact of the project clearly stated and described
- Development hypothesis and theory of change clearly described
- The relationship of the expected impact of the Results Framework explicitly linked to Host Government development priorities
- Inclusion of references to consultations and collaboration with local stakeholders
- Overall level of detail in the PAD
- Inclusion of various analyses done to support articulation of the final project design and logical framework
- Inclusion of key evaluations that influence Project Design
- Inclusion of various required Annexes
- Inclusion of plans for project monitoring, evaluation and learning

**ALIGNMENT REVIEW OF EVALUATION SOWS TO GUIDANCE**

**KPI 1:**

**Intervention**

No.	Describe the specific intervention, project/program, or process to be evaluated	Source Document(s)	Score	Value	ADHERENCE COMMENTS
1	Is the SOW clear and specific about what is to be evaluated, e.g. activity, project/approach (identified by name and relevant identifier and agreement numbers); funding mission/office; sector/topic; budget; target group/area? (looking at the big picture)	SOW checklist			
2	Is the duration of the project or program stated in the SOW, i.e. start and end years?	SOW checklist			
3	Is the reference period for the evaluation stated clearly?	SOW checklist			
4	Does the SOW include a brief description of the context, history of the activities or programs?	TIPS			
<b>POSSIBLE POINTS</b>					
<b>TOTAL</b>					<b>4</b>
<b>Percentage</b>					<b>0%</b>

**KPI 2**

**Development Hypothesis**

No.	Provide a brief background of the development hypothesis and its implementation		Score	Value	ADHERENCE COMMENTS
1	Does the SOW provide a clear description of the development hypotheses?	SOW checklist			
2	Does the SOW provide a clear description of intended results?	SOW checklist			
3	Does the SOW provide a clear description of critical assumptions?	SOW checklist			

4	Does the SOW clearly describe the nature of the intervention, i.e. what USAID would deliver (training, TA, etc.)	SOW checklist			
5	Does the SOW clearly describe what was expected to change (at the output and especially outcome levels)?	SOW checklist			
<b>POSSIBLE POINTS</b>					<b>5</b>
<b>TOTAL</b>					<b>0</b>
<b>Percentage</b>					<b>0%</b>

**KPI 3**

**Existing Information Sources**

No.	Identify existing performance information sources with special attention to monitoring data		Score	Value	ADHERENCE COMMENTS
1	Is SOW clear and specific about existing activity/project/approach (program) monitoring data/reports that are available, i.e. specific indicators tracked, baseline data, targets, progress towards targets; narrative?	SOW checklist			
2	Does the SOW describe other documents or sources of information that would be useful to the evaluation team, e.g. government or international data USAID is using to monitor activity/project/approach outcomes, e.g. growth rate, poverty rate, etc.?	SOW checklist			
<b>POSSIBLE POINTS</b>					<b>2</b>
<b>TOTAL</b>					<b>0</b>
<b>Percentage</b>					<b>0%</b>

**KPI 4**

**Audience and Use**

No.	State the purpose of, audience for, and anticipated use(s) of the evaluation		Score	Value	ADHERENCE COMMENTS
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1	Is the SOW clear and specific about why, in management terms, the evaluation is being conducted, i.e. what management decisions will an evaluation inform at this time? (ADS 203.3.6.1 identifies several management reasons for why USAID might undertake an evaluation).	SOW checklist			
2	Does the SOW indicate who makes up the audience for the evaluation, i.e. what types of managers in which organizations, e.g. USAID; Implementing Partner(s); host government, other donors, etc. are expected to benefit from the evaluation and how?	SOW checklist			
<b>POSSIBLE POINTS</b>				<b>2</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

**KPI 5**

**Evaluation Questions**

No.	Identify a small number of evaluation questions that are relevant to future decisions and answerable with empirical evidence		Score	Value	ADHERENCE COMMENTS
1	Does the SOW include a list of the specific questions the evaluation team is expected to answer?	SOW checklist			
2	Is the SOW list of evaluation questions consistent with USAID expectations about limiting the number of questions asked? (ADS 203.3.6.2 says “a small number of key questions or specific issues answerable with empirical evidence.”) [Small is often considered to be less than ten; every question mark signals a question.]	SOW checklist			
3	Does the SOW indicate the relative priority of each evaluation question, e.g. are they in priority order or are “top priorities” identified?	SOW checklist			
4	As a group, do the evaluation questions appear to be consistent and supportive of the evaluation’s purpose?	SOW checklist			
5	Does SOW identify all evaluation questions for which an examination of gender specific or gender differential effects are expected?	SOW checklist			
8	Is each question singular? (avoid asking two questions in one)	Evaluation questions checklist			

9	Does the SOW avoid yes/no evaluation questions?	Evaluation questions checklist			
<b>POSSIBLE POINTS</b>				<b>7</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

**KPI 6**

**Methods**

No.	Identify Evaluation Methods that will generate the highest quality and most credible evidence on each evaluation question taking time, budget, and other practical considerations into account, and specify methods with sufficient detail.		Score	Value	ADHERENCE COMMENTS
1	Is it clear from the SOW whether USAID requires the use of specific data collection/analysis methods or it is leaving such decisions up to evaluators?	SOW checklist			
2	Is the SOW clear and specific about any data disaggregation, e.g. by gender, or geographic region, etc. it requires?	SOW checklist			
3	Is the SOW clear and specific about any samples (e.g. representative); analyses (comparison of means for two groups); or response criteria (significant at the .05 level) it mentions?	SOW checklist			
<b>POSSIBLE POINTS</b>				<b>3</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

**KPI 7**

**Deliverables**

No.	Specify the evaluation deliverables and their timelines and logistics, including the requirements for transfer of data to USAID and expectations concerning evaluation team involvement in the dissemination of evaluation results:		Score	Value	ADHERENCE COMMENTS
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1	Are the deliverables for which the evaluation team is responsible clearly specified in the SOW?	SOW checklist			
2	Does the SOW include information about expected start and completion dates for the evaluation?	SOW checklist			
3	Are dates provided for all of the deliverables specified as evaluation requirements?	SOW checklist			
<b>POSSIBLE POINTS</b>					
				<b>3</b>	
<b>TOTAL</b>					
				<b>0</b>	
<b>Percentage</b>					
				<b>0%</b>	

**KPI 8**

**Evaluator Expertise**

No.	Clarify expectations about the methodological and subject matter expertise and composition of the evaluation team, including expectations concerning the involvement of local evaluation team members (one team member should be an evaluation specialist)		Score	Value	ADHERENCE COMMENTS
1	Are specific positions and/or skills the team is expected to include clearly defined, e.g. specific positions and associated qualifications including technical, geographic, language and other skill/experience requirements?	SOW checklist			
2	Is the SOW explicit about requiring that one team member be an evaluation specialist?	SOW checklist			
3	Is the SOW clear about whether and how USAID expects its staff, partners, customers/beneficiaries or other stakeholders to participate in the evaluation process (i.e. developing the SOW, collecting/analyzing data or providing recommendations)?	SOW checklist			
4	Does the SOW include methods of reinforcing local evaluation capacity and/or using local evaluation specialists?	TIPS criteria			
<b>POSSIBLE POINTS</b>					
				<b>4</b>	
<b>TOTAL</b>					
				<b>0</b>	
<b>Percentage</b>					
				<b>0%</b>	

**KPI 9**

**Scheduling and Lostistics**

No.	Address Scheduling, Logistics and other Support (one team member should be an evaluation specialist)		Score	Value	ADHERENCE COMMENTS
1	Is the SOW clear about whether space, a car or any other equipment will be made available to the team or that they must make their own arrangements?	SOW checklist			
<b>POSSIBLE POINTS</b>				<b>1</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

**KPI 10**

**Reporting and Dissemination**

No.	Clarify requirements for reporting and dissemination, including mandatory inclusion of Appendix 1 of the Mandatory Reference on Evaluation		Score	Value	ADHERENCE COMMENTS
1	Does the SOW state when an oral report will be given at the mission and which stakeholders should be present for this meeting?	SOW checklist			
2	Is the SOW clear about dissemination requirements, e.g. numbers of hard copies of final report needed; PowerPoint/handouts for oral briefings; submission to the DEC, etc.	SOW checklist			
3	Does the SOW include information about the maintenance of appropriate documentation at the conclusion of the evaluation? (such as raw data and codebooks)	ADS			
<b>POSSIBLE POINTS</b>				<b>3</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

**KPI 11**

**Budget**

No.	Include a Budget		Score	Value	ADHERENCE COMMENTS
1	Is the SOW clear about the LOE available for the evaluation?	SOW checklist			
2	Is the SOW clear about the total budget for the evaluation?	SOW checklist			
<b>POSSIBLE POINTS</b>				<b>2</b>	
<b>TOTAL</b>				<b>0</b>	
<b>Percentage</b>				<b>0%</b>	

## Appendix 6. COUNTRY CASE STUDIES

*N.B. The data included in this case study reflects the perspectives of Mission staff and other country level stakeholders. The text below has been reviewed by Mission staff.*

### PERU

#### Country Context

- Budget: \$52 million for the bilateral Peru program and \$19 million for the South American Regional Program, 33% of which is dedicated to 2 Presidential Initiatives<sup>3</sup>.
- Staffing: 128 staff, approximately 70% FSNs.
- CDCS: Started the CDCS process in March 2010, approved June 2012.
- PADs: 3 draft PADs, in draft with Mission reviews pending.
- Peru was a pilot country and the first to begin developing a CDCS as “whole of government” exercise.

*Adding selectivity and focus has been a good experience. We can't be everything to everyone. Our budget is declining so we have to focus on fewer and fewer programs geographically and where we can have the most impact. It has been painful, but useful. It has also helped us answer the question – why are we in Peru?*

*Since we have projects ongoing, we are developing the PADs now. It is backwards. We have done the contracting and now we are “doing” the design. It feels like checking a box. It doesn't help with decision making, since the decisions have already been made.*

**Implementation of the Program Cycle:** USAID/Peru's experience with the Program Cycle has been challenging, with long delays in finalizing the CDCS and then pressure to complete PADs that don't seem relevant given that most procurements were approved before the CDCS was completed. USAID/Peru is focused on USAID *Forward* top-line indicators and, thus, on Program Cycle elements that figure into them, such as the number of high quality evaluations. As one staff member noted, “the Administrator is not looking at the number of PADs as a top line indicator.”

Overall, there is significant frustration within the Mission that additional tasks required to implement the Program Cycle, CDCS, Project Design, and USAID Forward have not been balanced with streamlining of Mission reporting tasks which, staff noted, was a stated promise of State and USAID leadership at the outcome of the QDDR. Staff feels that no commensurate workload reduction has accompanied the recent increase in processes and tasks, and that all new processes come with additional policies and mandatory reporting requirements.

**Agency Policy and Strategies:** Many Mission staff generally read policies only when applicable to their tasks, and if there are no budget implications (or program consequences), people are less likely to use limited time reading them. The Mission has procedures and people who are directing implementation of the GEF Policy and GCC Strategy and both are a Mission priority, although awareness of the Policy and Strategy vary. Deep appreciation was expressed for technical support received from the Regional Bureau Gender Advisor who shares templates, examples and tools facilitating understanding on how to operationalize the GEF Policy.

**Country Development Cooperation Strategy:** USAID/Peru staff and external stakeholders uniformly report that the CDCS has helped the Mission be more selective and focused, and they

<sup>3</sup> Global Health Initiative, Global Climate Change (2012 data)

use the strategy to describe the Mission's focus to Embassy and host government colleagues. The CDCS development process (version 2 of the Guidance) took 23 months due to a change of scope from a whole-of-government strategy to a USAID-only strategy. Further, a mid-stream government change meant the Mission had to socialize the CDCS with the new administration, which led to further delays in its finalization. FSNs were well-integrated and share a deep understanding and support for the CDCS. USAID/Peru believes revisions may be necessary, but is reluctant given the initially time-consuming approval process. Mission staff's perceived value of the CDCS was eroded when USAID/Washington instructed them to modify the text of two Development Objectives late in the approval process, for reasons that did not feel warranted. These last minute modifications were perceived as undermining the integrity of the long-term planning process and the measureable results laid out in the framework.

**Project Design and Implementation:** USAID/Peru is in the midst of implementing the new Project Design process, but it is not seen as a priority because by the time the CDCS was finally approved, most activities had been procured, or were in procurement. The Mission drafted and approved a Project Design Mission Order, and three PADs at the Development Objective level are in development for all existing and many future activities. People are reluctant because they feel that undertaking new analyses as required may be unnecessary for projects already well underway. Lack of consensus exists within the Mission as to when and if these PADs should be developed. Additionally, due to the volatile nature of development, which can render PAD analyses irrelevant if developed too far in advance of procurement, there are questions as to when they should be completed in the Program Cycle. However, Mission leadership sees value in PADs as a tool for understanding how activities will contribute to achieving Development Objectives and Intermediary Results and as a way to describe a holistic technical strategy for each team.

**Evaluation and Monitoring:** A Mission Order on Evaluation was developed and the Evaluation Policy intensified collaboration of the USAID/Peru Monitoring and Evaluation working (M&E) group, comprised of representatives from each Technical Office, on sharing lessons learned and conducting peer reviews of SOWs and evaluation reports. The Mission procured the services of an evaluation contractor and was initially concerned about procurement delays, which complicated the sequencing of project start-up and baseline data collection. The new contract includes activities that will build the evaluation capacity of local institutions.

**Learning and Adapting:** The Mission has not formalized an independent learning agenda outside the M&E working group. In some cases evidence plays a key role in Mission decisions, but others feel evaluations serve reporting requirements rather than a broader learning agenda. Staff expressed enthusiasm for learning, but there was a general sentiment that evidence is not shared and that findings often come too late to make adjustments mid-stream or inform new projects, and are often difficult to operationalize.

**Awareness of PPL and Support Received:** USAID/Peru has not received PPL-led training and there has been no on-site technical assistance beyond the initial CDCS pilot phase. Staff have received all major USAID trainings (Gender, PDM, Project Design, AOR/COR, etc.). The Mission tends not to access PPL for support given high levels of frustration with the process overall, confusion about where Agency leadership on reforms is located, and uncertainty related to PPL priorities vis-à-vis USAID *Forward*. Staff responds to requests for information and participates regularly in webinars and working groups; however, people feel that the relationship centers on PPL, and does not advance Mission priorities. PPL's perceived support for Program Cycle implementation has been hampered by a feeling that they do not acknowledge that Missions already had many effective practices before the Guidance was released. In addition, the Mission wants PPL to demonstrate leadership in the Inter-Agency to advance streamlining and reduce unnecessary workload requirements in the budgeting and approval process, specifically with respect to State/F and the Operational Plan, which has little value for Missions, takes a long time to produce, and slows down all obligation processes considerably.

## SENEGAL

*N.B. The data included in this case study reflects the perspectives of Mission staff and other country level stakeholders. The text below has been reviewed by Mission staff.*

### Country Context

- Budget: \$105.485 million, 70% dedicated to seven Presidential Initiatives<sup>4</sup>.
- Staffing: 118 staff, approximately 66% FSNs.
- CDCS: Launched process in October 2010 (CDCS Guidance version 2), Approved April 2012 (18 months).
- PADs: 3
- USAID has been active in Senegal for over 50 years, is one of the country's largest donors, serves as a training hub for DLIs, and recently acquired Regional Mission responsibilities for most Francophone Sahelian countries and a resilience portfolio under the new Resilience Policy.

*The Program Cycle gave the Program Office teeth. It made it easier for me to ask for things. Once you have policies in place, I can ask for things to happen. This gave us teeth to make changes happen.*

*"There is a disconnect between design/implementation/acquisition. PPL and Acquisition – they should be in bed together – they need to work side by side."*

**Implementation of the Program Cycle:** USAID/Senegal's experience with the Program Cycle was relatively smooth, as they have been following the spirit of the Program Cycle Guidance before it was issued and have not felt the need for additional support. With respect to the CDCS development process, Mission strategies have been well aligned with the Government of Senegal's Development Strategy, and they have played an active and often leadership role in donor coordination for years. Because the Program Office is well-staffed, they report having time to read carefully new guidance and, as one staff member put it, "*domesticate the guidance into our own norms.*" Operative Mission Orders for Evaluation and Activity Review and Approval existed previously and needed only updating to incorporate the new policies and guidance. While Mission staff struggled with implementing the new Project Design guidance, and were frustrated by delays in approval of the CDCS, they did not find these situations overwhelming.

**Agency Policy and Strategies:** Participation of Mission staff in the design of the USAID Education Strategy and provision of detailed input to the USAID Resilience Policy made knowledge of the policy easier. However, despite understanding the refocusing of Agency education efforts outlined in the Strategy, there was both resistance and frustration in the Mission with the need to significantly change the direction of their programming. The Program Office has striven to socialize the GEFE Policy by conducting several meetings with Technical Offices to review and discuss it, which has helped them advance their thinking about gender. The Program Office reported that some Technical Offices see the guidance as less relevant than others.

**Country Development Cooperation Strategy:** Within an 8-month period, USAID/Senegal launched its CDCS process, submitted a Results Framework paper and first full draft of the CDCS, completed a Health strategy, received approval on their Feed the Future strategy, and

<sup>4</sup> U.S. President's Emergency Plan for AIDS Relief (PEPFAR), Maternal child health, President's Malaria Initiative, Reproductive Health and Family Planning, Food Security and Nutrition, Global Climate Change, Feed the Future, as well as Education earmarks (2012 data)

was slated as a Global Health Initiative Phase 2 country. For all their concerted efforts for efficiency at the Mission level in this process, approval of their CDCS took 10 more months; with 17 individuals across seven Bureaus and Offices providing detailed feedback on the draft. In contrast, the Mission's Resilience Program Joint Planning Cell's strategy process, completed in five months, actively and regularly brought together key players in USAID/W and streamlined inputs. While these two situations are not parallel (as the latter enjoyed direct Administrator support), Mission staff cites the Resilience strategic planning as a demonstration that getting efficient and effective Washington input does not need to take so long. Many Mission staff suggested that, for a country like Senegal where programming and budgets vary little over time, an annual updating process would be more efficient than a full CDCS effort every five years.

**Project Design and Implementation:** The Program Office has facilitated the Project Design process for all new projects. They proactively meet with the Technical Offices to review the process, and provide templates and guidance as needed, and include Support Offices in concept paper reviews. No attempt was made to retro-fit ongoing activities into PADs.

**Evaluation and Monitoring:** USAID/Senegal appreciated the additional structures and rigor provided by the Evaluation Policy, created an M&E Working Group, and placed a Program Office M&E advisor in each of the three Technical Offices to support their evaluation work.

**Learning and Adapting:** The Evaluation Policy has supported a more robust Mission evaluation agenda to include mid-term and final evaluations and expanded the audience for learning from the Technical team to broader Mission audience.

**Awareness of PPL and Support Received:** USAID/Senegal has neither requested nor received any specific training or TDYs from PPL during their implementation of the Program Cycle. The USAID/Senegal Program Office has found PPL-issued guidance and policies generally clear and they feel capable of implementing and supporting it themselves, based on the guidance. They do engage LER in reviewing evaluation SOWs, refer to Caren Grown in the Policy Office for some support on gender integration, and they did receive backstop support from SPP during the CDCS process.

Even with strong Mission capacity, several Mission staff expressed a strong desire for PPL to play a role of "*inverting the fire hose*" rather than allowing guidance and feedback to come from multiple USAID/W offices.

## ETHIOPIA

*N.B. The data included in this case study reflects the perspectives of Mission staff and other country level stakeholders. The text below has been reviewed by Mission staff.*

### Country Context

- Budget: \$623 million, 74% dedicated to 4 Presidential Initiatives<sup>5</sup>.
- Staffing: 167 staff, approximately 71% FSNs
- CDCS: Started the CDCS process in August 2010, formally launched in November 2010, approved December 2011.
- PADs: 2
- USAID has been active in Ethiopia for over fifty years and USAID/Ethiopia is the eighth largest Mission at USAID with a portfolio of approximately 120 projects being implemented by nearly 80 implementing partners.

*One of the great helps was the question of what you are going to do and not do. [The CDCS development process] forced each of the offices to state what they will and won't do. The CDCS introduced some discipline in the thinking.(the message is not clear? What are we trying to say?)*

*The PAD is a paper exercise. What it is, let's put on paper what we do and write it broad enough so that if we want to do other things later on, we can fit it in. It is broad and high level.*

*We (USAID) have eleven or twelve policies. It is quite breathtaking, but PPL needs to now concentrate on how it is all managed at the Mission. Change management is the key and PPL's role in this process. How they can support us? They need to know how they can best support Missions.*

**Implementation of the Program Cycle:** Overall, USAID/Ethiopia sees conceptual value in the Program Cycle, however implementation has been slow. The policy and guidance documents are viewed as too lengthy and often implementation of these policies competes with immediate day-to-day priorities. In some cases, Pillar Bureaus and PPL have different interpretation of the guidance and when the Mission receives conflicting guidance/interpretation they choose guidance that best suits the needs at the Mission and move forward. It is not clear on whether adequate analysis has been made on the Mission resource requirements (financial and human resources) to operationalize the new guidance and policies.

**Agency Policy and Strategies:** To comply with the GEF Policy USAID/Ethiopia hired a Gender Advisor, created a Mission Order, established an ad hoc gender committee, appointed a Gender Point of Contact in each Technical Office, and secured additional grants from Washington incentive funds to enhance gender focused activities and improve development outcomes of the CDCS. Some Mission staff members struggle to understand how to integrate gender throughout the Program Cycle. The Mission is examining how to operationalize the Policy in its Results Framework, including planning a Mission wide Gender Training and networking among implementing partners which, the Mission hopes, will improve capacity around gender. Careful reading and implementation of the GCC strategy is limited to the staff funded through the Global Climate Change Initiative.

**Country Development Cooperation Strategy:** Some staff thought the CDCS process helped the Mission better integrate its work and brought a level of program rigor, selectivity and focus, while others see the CDCS largely influenced by the Presidential Initiatives. Continued shifts in strategy and budgets have eroded the strategic relevance of the CDCS and the Mission is

<sup>5</sup> PEPFAR, PMI, GCC, and FTF

looking for clear guidance on a strategy amendment process. While the Mission found the final stages of the CDCS approval process long, the overall feedback was reported as valuable. However, a more strategic and coordinated response from various pillar bureaus in Washington would have been more effective.

**Project Design and Implementation:** USAID/Ethiopia developed a Project Design Mission Order, and is generally familiar with and sees value in the Project Design concept. However, outside of the DLIs and the Program Office staff, other Mission staff is not familiar with the Guidance. It is also not clear if the new process is better than the status quo because it's seen as requiring more work without adding value to development outcomes. Many mid-level and senior staff members have not been trained in the new process and terminology, and current training options are seen as too long (e.g. two weeks). The Mission feels that the analyses required for the PAD are overly broad and have limited use to inform activities.

**Evaluation and Monitoring:** USAID/Ethiopia has increased focus on evaluation overall, as evidenced by a Mission Order on Performance Monitoring and Evaluation (M&E) and current efforts to standardize monitoring systems, train partners and staff, review evaluation SOWs, and establish an Evaluation Technical Working Group. The Mission continues to struggle with different M&E systems among the Presidential Initiatives.

The Mission hosted evaluation training designed for Program Managers and Evaluation Specialists and a total of 32 Mission staff (24 on Evaluation for program Managers and 8 on Evaluation for Evaluation Specialists) were trained. Six Mission staff members were also trained on evaluation for evaluation specialists held outside of the country.

Furthermore, the Mission has an M&E contractor that is working to build both the Mission and implementing partners' capacity to effectively and efficiently monitor, evaluate and develop programs. For instance, the Contractor is playing a key role in helping USAID operationalize the Mission Performance Management Plan by working closely with the Program Office, technical Development Objective (DO) teams and implementing partners.

**Learning and Adapting:** The Mission's CDCS articulates a thoughtful discussion of the importance and role of Collaborating, Learning, and Adapting, and the Mission is using evidence to inform learning. It has struggled with how to operationalize a learning agenda and is uncertain how to glean knowledge from other Missions doing similar work.

**Awareness of PPL and Support Received:** The Mission's perspective of PPL's support varies. The recent PPL Standardization TDY to harmonize Mission Orders with the Project Design guidance provided the Mission with an opportunity to give input to and have dialogue with PPL, which built trust and confidence. While USAID/Ethiopia has received support from PPL on various issues related to the roll-out of the Program Cycle, the timeliness of the support could be improved. Many staff members feel that PPL's guidance is 'theoretical' rather than pragmatic, and struggle with how to implement the guidance effectively, especially given resource constraints.

## NEPAL

*N.B. The data included in this case study reflects the perspectives of Mission staff and other country level stakeholders. The text below has been reviewed by Mission staff.*

### Country Context

- Budget: \$81 million budget, 75% dedicated to 3 Presidential Initiatives<sup>6</sup>.
- Staffing: 95 staff, approximately 70% FSNs.
- CDCS: Started the CDCS process in February 2012, formally launched in June 2012, submitted the final draft to USAID/W for review May 2013. Approval is pending.
- PADs: 5
- USAID/Nepal is in that last phase of Mission's implementing the Program Cycle and feel that they get a lot of assistance from PPL and USAID/W, more than other Missions which they have been in contact with.

*There are so many policies and strategies, every week: youth policy, child marriage policy, it's kind of overload. I think it would be helpful to see which ones are the priorities, we know that gender is a priority and evaluation policy [because] they did quite a bit of outreach.*

*It would have been better to beta-test more of the changes in the field before implementing them from the top down. First there was guidance and then the changes to the ADS came much later, so that was hard. There wasn't a design as a whole Agency; it came out piecemeal. Now we're working our way into monitoring, why didn't they start with monitoring, then go to evaluation? It's hard."*

*Projects in the past were known for technical excellence and now we're bogged down in processes.*

**Implementation of the Program Cycle:** Although generally welcomed, the Mission perceives PPL-issued guidance and policies as “coming too much, too fast” without adequate “beta-testing.” This has resulted in confusing and ambiguous information open to interpretation (although in some cases the latter allows for flexibility) that is released piecemeal. This Mission-level confusion has translated into uncertainty among implementing partners of their role amid constantly changing USAID evaluation, project, and reporting processes and requirements. As the Mission adopted the Program Cycle they found inconsistencies, conflicting messages, and weaknesses in the support and guidance that often created confusion about roles and responsibilities, especially between Program and Technical Offices. Mechanisms and tools for fast procurement to fill expertise gaps and conduct assessments, surveys and analyses have been slow in coming and when they do, the Mission is largely unaware of them. Mission respondents, primarily FSOs, remarked on differences between DLIs' views towards the Program Cycle and related changes (enthusiastic and informed) and veterans who “suffered through the dark years” (whose views vary from indifference, frustration, and excitement to “returning to development”). Some attributed this to DLI training, which covers the Program Cycle extensively, while other long term staff has not received the same degree of Program Cycle emersion. The Mission has been forward-leaning in implementing the new Program Cycle, particularly Project Design. Program Office staff reported that, as a result of this and the USAID Forward focus on local organizations, the management burden on the Mission in terms of staff time and management units (development mechanisms, capacity building for local

<sup>6</sup> Feed the Future, Global Health Initiative, Global Climate Change.

organizations, due diligence for government to government funding, evaluations, analyses, surveys, etc.) has more than doubled.

**Agency Policy and Strategies:** Staff welcome the GEFE Policy and found the guidance to be clear. Implementation is supported by a gender steering committee until the eagerly anticipated hire of a Gender Advisor. USAID/Nepal has found implementation of the GCC strategy more complicated due to discordance between the strategy, policy and sustainable landscapes strategy, which have been subdivided into different results frameworks. USAID/Nepal staff remarked that they would like PPL to lead the harmonization of all new policies across USAID/Washington before implementation in the field in order to reduce the amount of conflicting guidance coming from one office to the next, and save staff time and effort.

**Country Development Cooperation Strategy:** USAID/Nepal used CDCS Guidance version 3 and is in a later stage of development than other Missions in part because they were a pilot country for the Joint Country Assistance Strategy (2009-2013) which they used to develop their GHI and FTF strategies that were integrated into the CDCS. USAID/Nepal found the CDCS process time-consuming and could not wait for the CDCS to be finalized before designing, procuring and implementing projects. There was concern that, by the time the CDCS was finalized, the situation on the ground may have changed, especially in democracy and governance, which is the focus of USAID/Nepal's work. With 75% of the budget earmarked by Presidential Initiatives it seemed to some staff that they were merely following a checklist rather than developing a CDCS based on country context and priorities.

**Project Design and Implementation:** Nearly all Technical Offices have used the new Project Design guidance(s) and developed one or more PADs. The PAD process was reported as being very challenging and the constantly changing guidance has resulted in PADs differing greatly even within Technical Offices. After nearly 18 months and several iterations, the Project Design Mission Order remains a draft due to, to some extent, changing and confusing PPL-issued guidance. Staff reported that many of the PAD requirements are time-consuming and resource-demanding. Staff reported that when they sought advice from different parts of USAID/W about this, they received conflicting messages. No corresponding changes have been provided to OAA for inclusion with new project designs.

**Evaluation and Monitoring:** USAID/Nepal greatly appreciated the technical assistance of an evaluation and monitoring expert sent by the PCSC who stayed for one month to help establish an Integrated M&E Team, and develop a Performance Management Mission Order. The Mission developed an Evaluation Mission Order and both Technical and Support Offices have worked on more than 20 evaluation SOWs for performance, mid-term, and final evaluations; projects in process before the new guidance were not designed to be evaluated or to report according to new requirements.

**Learning and Adapting:** The extent to which the evaluations are informing Learning and Adapting within the Mission is still to be determined.

**Awareness of PPL and Support Received:** PPL training and outreach to USAID/Nepal has been primarily for and to the Program Office, which is responsible for disseminating and interpreting changes across the Mission. The entire Mission participated in a PPL-supported workshop, which was reported as significantly advancing the CDCS results framework process and resulting in more clarity on the new Project Design guidance. Mission staff reported that, when they request support for coping with new policies, the response from USAID/Washington is to find funding for that support. While significant time has passed since the first policies were issued, a number of senior staff felt that PPL should provide Missions with a more coherent "vision" of what the overall Program Cycle would look like when institutionalized, including the anticipated end of new policy issuance.

## GEORGIA

*N.B. The data included in this case study reflects the perspectives of Mission staff and other country level stakeholders. The text below has been reviewed by Mission staff.*

### Country Context

- Budget: \$180 million, including 3 Presidential Initiatives<sup>7</sup>.
- Staffing: 93 staff, approximately 69% FSNs.
- CDCS: Started the CDCS process in October 2011, approved July 2012.
- PADs: 3
- USAID/Georgia represents strategic importance to the U.S. with over \$3 billion in development assistance provided since 1992. Mission budget and priorities are overseen by the State Department and USAID.

*... It has been good that PPL provided relatively clear policy on stages of the Program Cycle and what to do... it brings back a much needed structure. We were drifting when PPC disappeared. We didn't stop doing evaluations, but didn't know who to turn to for guidance; the same with project design. The guidance has holes, but it's positive that it's there.*

*What was the [Project Design] guidance addressing that needed fixing?*

**Implementation of the Program Cycle:** USAID/Georgia has strongly embraced the general intent of the Program Cycle and all components have been engaged. Staff views most policies and tools as useful and informative, with the exception of those associated with Project Design.

**Agency Policy and Strategies:** The Mission is implementing the GEFE Policy, Education Strategy and the mitigation/clean energy pillar of the GCC Strategy. Both Gender and Climate Change are high priorities for the Mission with strong Front Office commitment. USAID/Georgia has a Gender Mission Order that formalized the Gender Working Group and is committed to a gender assessment every five years. Gender is integrated into the CDCS as a cross-cutting theme and included in one Development Objective.

**Country Development Cooperation Strategy:** USAID/Georgia was part of the second wave of Missions to develop a CDCS (using version 3 of the Guidance) and was able to dedicate the time and human resources necessary. The CDCS was completed in nine months. Before that there was a period of at least six additional months for conducting a significant number of assessments and evaluations. The Mission believes the CDCS has enough flexibility to accommodate contextual changes. For example, shortly after the CDCS was approved a change in government led to revised national priorities, which provided challenges and opportunities for CDCS implementation, but the strategy allowed for adjustments to the new context.

**Project Design and Implementation:** USAID/Georgia developed a Project Design Mission Order and within the Mission there are proponents for the Project Design guidance and PADs to bring greater discipline to the design process through deeper and broader analyses and links to CDCS results. However, far more staff throughout the Mission feel that PADs target the wrong

<sup>7</sup> Feed the Future, Global Climate Change and Global Health Initiative

level (Intermediate Result versus Activity), and have too many analyses in the beginning before there is clarity of what initiatives would lead to the achievement of results.

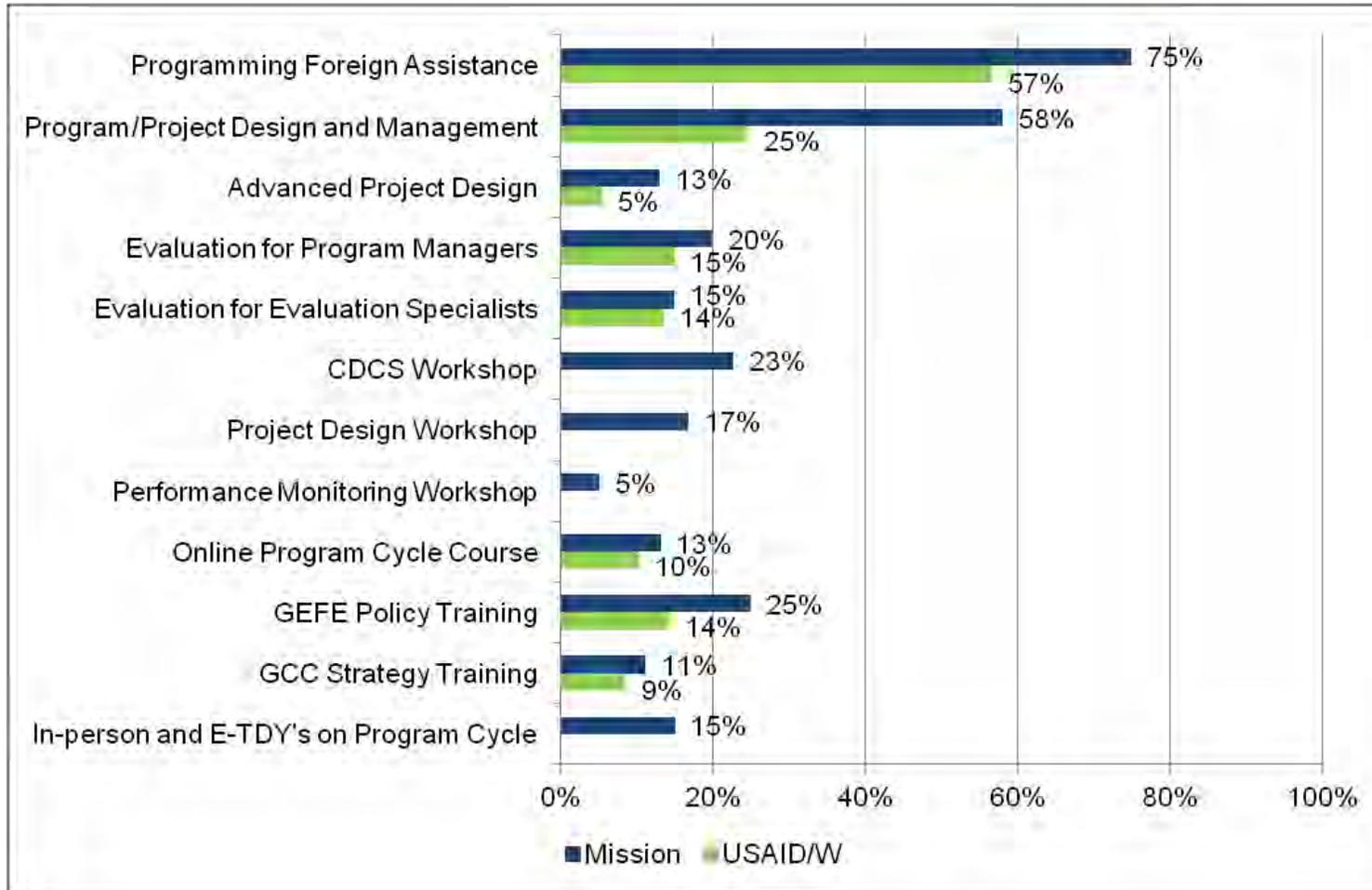
**Evaluation and Monitoring:** Many in the Mission see the Evaluation Policy as long overdue, particularly as part of the broader learning agenda in which evaluation lessons are fed back into the Mission's planning and decision making processes. The Mission developed an Evaluation Mission Order and is developing a Performance Management Plan (PMP, final expected June 2013). Most evaluation tasks are undertaken through a Mission-managed IQC. The Mission is also implementing an impact evaluation.

**Learning and Adapting:** The Mission developed a Collaborating, Learning, and Adapting approach that ties performance management and evaluation to strategy revisions through ongoing monitoring, analysis and reporting on these changes and there is widespread commitment to their underlying principles.

**Awareness of PPL and Support Received:** The Mission requested and received significant technical support and training from PPL directly or through a contractor (e.g. Program Cycle Service Center [PCSC]). PPL TDYs were highly valued while contractor-provided training was viewed as less effective because Mission staff was referred to PPL for questions the contractors could not answer. USAID/Georgia sought guidance from PPL throughout the CDCS process and the regional backstop for Georgia conducted a two-week TDY to review the Results Framework Paper and provide input. PPL was invited to the CDCS retreat but was unable to attend. Before an advanced one-week project design workshop conducted by the PCSC, the Mission brought in two PPL trainers for a three-day project design workshop for Technical Offices, which enabled staff to commence work on the PADs. The Mission called on the PCSC to provide technical assistance on the PMP, but the support was characterized as "of questionable use". On the other hand, the Mission greatly appreciated PPL's technical support on impact evaluations, including the work plan. The overwhelming preference of USAID/Georgia was for a more hands-on, in-country support from PPL, versus contractor-provided training and technical assistance.

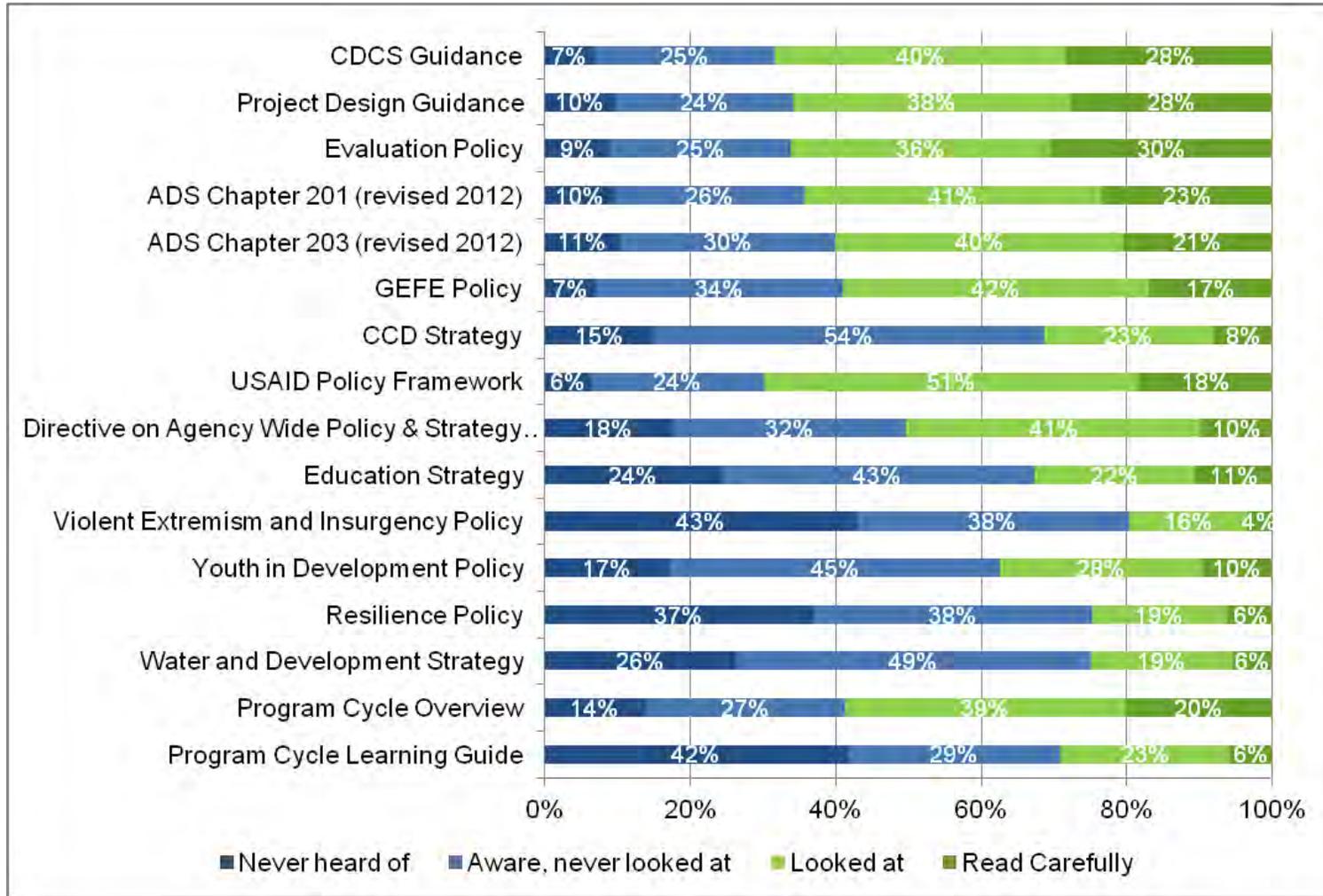
**Appendix 7. ADDITIONAL SUPPORTING EVIDENCE**

**Exhibit 40: Mission and USAID/W Participation in Program Cycle-related Trainings**



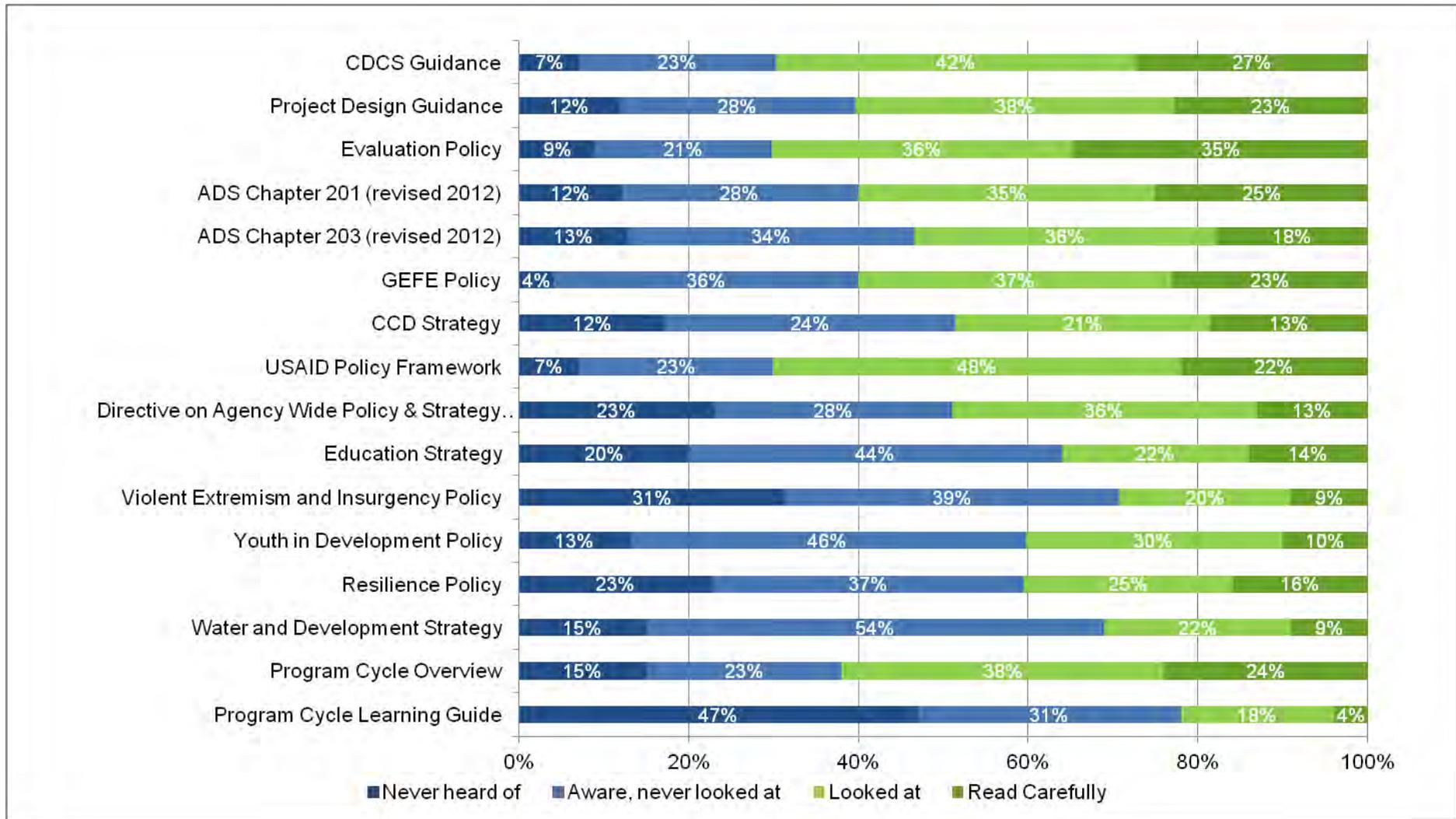
PFA: Mission n=1140, USAID/W n=432; PDM: Mission n=1025, USAID/W n=414; APD: Mission n=826, USAID/W n=405; EPM: Mission n=845, USAID/W n=409; EES: Mission n=828, USAID/W n=407; CDCS Workshop: Mission n=851; Project Design Workshop: Mission n=837; Performance Monitoring Workshop: Mission n= 807; Online Program Cycle Course: Mission n=816, USAID/W n=399; GEFE Policy Training: Mission n=854, USAID/W n=409; GCC Strategy Training: Mission n=821, USAID/W n=402; In-person and e-TDY's on Program Cycle: Mission n=787.

Exhibit 41: Mission Awareness of USAID Policies, Strategies, and Guidance



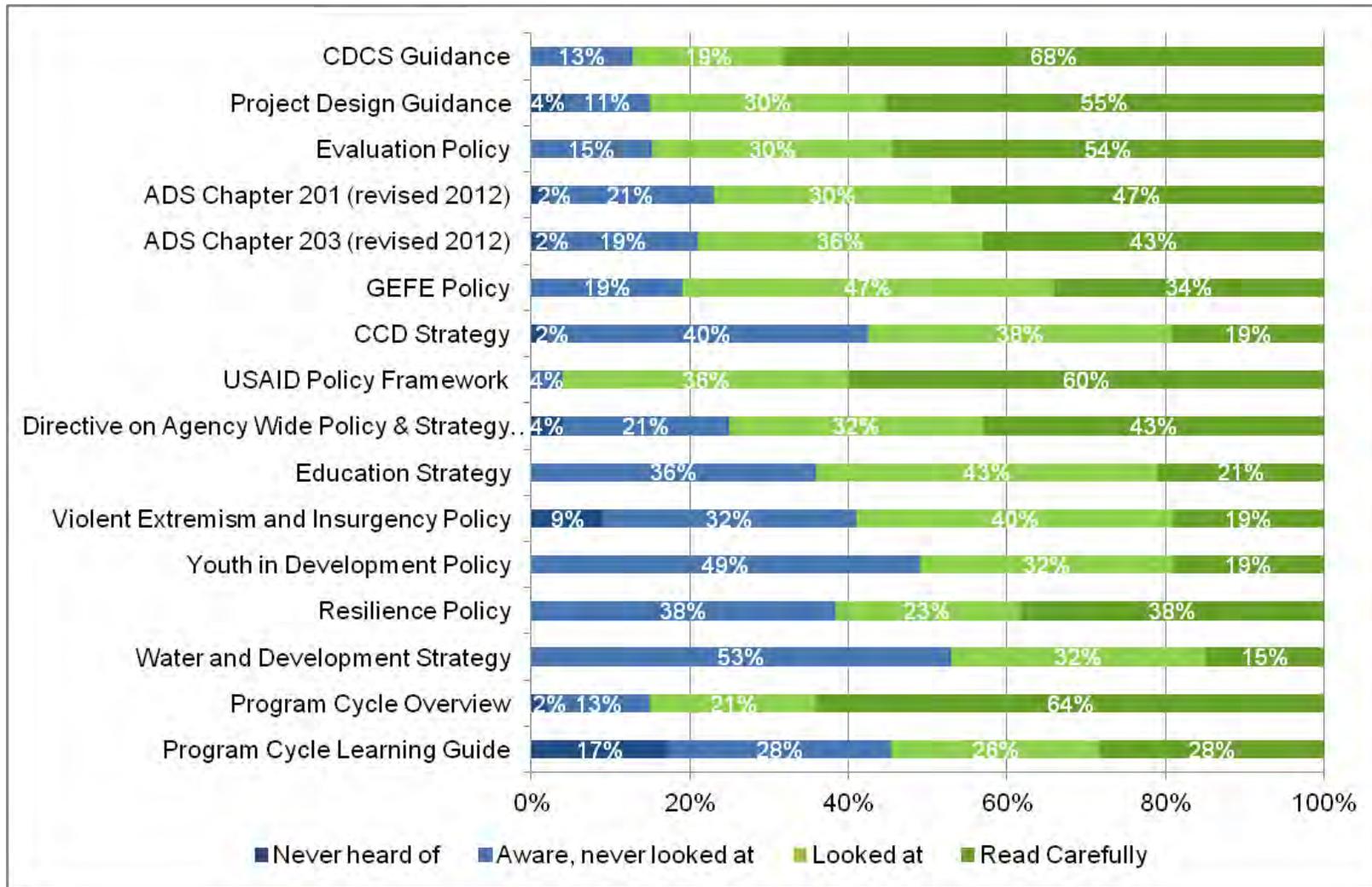
CDCS n=1169, Project Design n=1098, Evaluation n=982, ADSC 201 n=986, ADSC 203 n=977, GEFE n=996, GCC n=975, USAID Policy Framework n=1000, Directive on Agency Wide Policy & Strategy n=970, Education n=969, Violent Extremism n=960, Youth in Development n=982, Resilience n=967, Water and Development n=970, Program Cycle Overview n=984, Program Cycle Learning Guide n=900.

Exhibit 42: USAID/W Awareness of USAID Policies, Strategies, and Guidance



CDCS n=431, Project Design n=418, Evaluation n=411, ADSC 201 & ADSC 203 n=409, GEFE n=410, GCC n=411, USAID Policy Framework n=409, Directive on Agency Wide Policy & Strategy, Education, & Violent Extremism n=408, Youth in Development n=410, Resilience n=409, Water and Development n=405, Program Cycle Overview n=406, Program Cycle Learning Guide n=383.

Exhibit 43: PPL Awareness of USAID Policies, Strategies, and Guidance



N=47, except Evaluation Policy n=46 and Program Cycle Learning Guide n=46.

**Exhibit 44: CDCS Summary Scores: Results by Country and Alignment Categories/Criteria**

N.B. These scores are based on the checklist found in **Appendix 5**, starting on **page 94**. This scoring only reflects alignment with CDCS guidance (version 3), and ADS 201 (March 2011). This systematic review did not address the quality of the content of the CDCS.

Country (CDCS version)	A. Development Context, Challenges Opportunities	B. Development Hypothesis	C. Results Framework Paper	D. M&E and Learning	E. GCC Strategy	F. GEFE Policy	G. Management Requirement	H. Program Resources & Priorities
Albania (2)	100%	83%	93%	79%	N/A*	80%**	100%	100%
Azerbaijan (2)	75%	67%	77%	64%	N/A*	70%	100%	100%
Bangladesh (2)	100%	100%	97%	100%	100%*	100%**	100%	75%
Bosnia Herzegovina (2)	100%	83%	88%	71%	100%*	90%**	100%	100%
Ethiopia (2)	100%	83%	90%	93%	83%*	70%**	38%	50%
Georgia (3)	100%	100%	100%	79%	83%	70%	100%	100%
Ghana (2)	88%	83%	95%	86%	83%	100%	75%	100%
Guatemala (3)	100%	100%	97%	93%	100%	100%**	100%	100%
Jordan (3)	88%	50%	82%	79%	N/A	90%	100%	50%
Liberia (2)	100%	50%	93%	57%	25%	60%	75%	0%
Mongolia (2)	100%	83%	85%	50%	50%	70%	88%	75%
Peru (2)	100%	50%	83%	71%	0%	75%	75%	75%
Russia (2)	100%	67%	77%	71%	0%*	70%**	100%	100%
Senegal (2)	100%	100%	88%	64%	100%	100%	100%	100%
Sri. Lanka (2)	88%	67%	88%	79%	N/A*	80%**	0%	0%
Uganda (2)	100%	100%	100%	100%	83%*	60%**	100%	50%
Ukraine(3)	88%	50%	90%	57%	83%	80%**	100%	100%
Zambia (2)	88%	83%	83%	88%	100%*	100%**	75%	50%
<b>AVERAGE</b>	95.28%	77.72 %	89.22%	76.72%	65.50%	79.38%	84.78%	73.61%

\* Countries that developed their CDCS before GCCD Strategy was released by USAID/W (January 2012). N/A is applied to countries that did not have any climate change results, initiatives or activities. \*\*Countries that developed their CDCS before GEFE Policy was released by USAID/W (March 2012).

**Exhibit 45: 2010 SOW Summary Scores by Country and Alignment Categories/Criteria**

**Exhibit 45** (2010), **Exhibit 46** (2011), and **Exhibit 47** (2012) are based on the Evaluation SOW checklist found in **Appendix 5**, starting on **page 104**. This scoring only reflects alignment with the Evaluation Policy, ADS 203, and the Evaluation SOW Checklist version 1. This systematic review did not address the quality of the content of any Evaluation SOW.

Country	KPI 1 Intervention	KPI 2 Development Hypothesis	KPI 3 Existing Information Sources	KPI 4 Audience & Use	KPI 5 Evaluation Questions	KPI 6 Methods	KPI 7 Deliverables	KPI 8 Evaluator Expertise	KPI 9 Scheduling & Logistics	KPI 10 Reporting & Dissemination	KPI 11 Budget
Azerbaijan	63%	20%	25%	50%	25%	33%	33%	0%	0%	50%	50%
Georgia	25%	60%	75%	0%	50%	33%	50%	0%	100%	67%	0%
Guinea	100%	30%	50%	25%	50%	17%	100%	0%	100%	50%	0%
Iraq	50%	20%	0%	0%	56%	33%	100%	100%	0%	33%	0%
Kenya/Uganda	100%	80%	100%	50%	44%	67%	67%	63%	0%	83%	0%
Namibia	88%	40%	100%	50%	38%	33%	0%	0%	0%	0%	0%
Nigeria	75%	30%	50%	100%	63%	50%	100%	100%	100%	67%	50%
Pakistan	75%	50%	0%	100%	56%	33%	67%	75%	100%	67%	50%
South Africa	75%	40%	0%	50%	0%	33%	67%	100%	100%	67%	50%
Vietnam	75%	0%	50%	0%	38%	33%	100%	100%	0%	33%	50%
<b>AVERAGE</b>	72.60%	37.00%	45.00%	42.50%	42.00%	36.50%	68.40%	53.80%	50.00%	51.70%	25.00%

Exhibit 46: 2011 SOW Summary Scores by Country and Alignment Categories/Criteria

Country	KPI 1 Intervention	KPI 2 Development Hypothesis	KPI 3 Existing Information Sources	KPI 4 Audience & Use	KPI 5 Evaluation Questions	KPI 6 Methods	KPI 7 Deliverables	KPI 8 Evaluator Expertise	KPI 9 Scheduling & Logistics	KPI 10 Reporting & Dissemination	KPI 11 Budget
Afghanistan_1	63%	10%	50%	50%	36%	33%	50%	100%	100%	17%	50%
Afghanistan_2	100%	70%	0%	50%	50%	33%	100%	88%	0%	33%	50%
Ghana	0%	0%	25%	0%	0%	0%	83%	0%	0%	33%	0%
Iraq	38%	20%	0%	75%	43%	17%	67%	50%	0%	17%	50%
Lebanon	0%	0%	0%	0%	0%	0%	33%	0%	0%	0%	0%
Liberia	38%	40%	25%	0%	0%	0%	83%	N/A	0%	0%	0%
Serbia	88%	70%	50%	0%	43%	0%	0%	0%	0%	0%	0%
South Asia	0%	0%	0%	50%	29%	0%	67%	100%	0%	67%	50%
Uganda	50%	60%	25%	50%	57%	33%	83%	100%	0%	33%	50%
Zambia	63%	40%	50%	0%	43%	33%	0%	0%	0%	0%	0%
<b>AVERAGE</b>	44.00%	31.00%	22.50%	27.50%	30.10%	14.90%	56.60%	48.67%	10.00%	20.00%	25.00%

Exhibit 47: 2012 SOW Summary Scores by Country and Alignment Categories/Criteria

Country	KPI 1 Intervention	KPI 2 Development Hypothesis	KPI 3 Existing Information Sources	KPI 4 Audience & Use	KPI 5 Evaluation Questions	KPI 6 Methods	KPI 7 Deliverables	KPI 8 Evaluator Expertise	KPI 9 Scheduling & Logistics	KPI 10 Reporting & Dissemination	KPI 11 Budget
Afghanistan	100%	40%	0%	50%	29%	33%	33%	63%	100%	67%	50%
Albania	38%	80%	0%	50%	36%	0%	0%	0%	0%	0%	0%
Angola	75%	0%	0%	50%	0%	17%	17%	25%	0%	0%	0%
Bangladesh	100%	40%	0%	100%	50%	67%	100%	75%	100%	83%	50%
Colombia	25%	50%	0%	50%	0%	33%	100%	75%	100%	17%	50%
Ethiopia	88%	60%	0%	50%	30%	67%	100%	50%	100%	33%	0%
Kosovo	100%	40%	25%	100%	79%	83%	83%	63%	50%	67%	25%
Serbia	75%	20%	0%	50%	29%	33%	33%	13%	0%	100%	0%
Sri Lanka	75%	40%	0%	50%	64%	17%	50%	88%	100%	50%	50%
Sub-Saharan Africa	88%	20%	25%	0%	64%	50%	100%	75%	100%	50%	25%
<b>AVERAGE</b>	76.40%	39.00%	5.00%	55.00%	38.10%	40.00%	61.60%	52.70%	65.00%	46.70%	25.00%

**Exhibit 48: Sources of Support for Program Cycle Components by Mission Office**

**CDCS**

<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>Financial Management</b>
Mission Program Office (97%)	Mission Program Office (92%)	Mission Program Office (86%)	Mission Program Office (69%)	Mission Program Office (69%)
PPL (91%)	ADS (66%)	Mission Front Office (49%)	ADS (61%)	ADS (49%)
Regional Bureau (90%)	Mission Front Office (67%)	ADS (45%)	Mission Front Office (46%)	Mission Front Office (45%)
ADS(82%)	PPL (60%)	Technical/Pillar Bureaus (36%)	General Council (20%)	PPL (17%)
Technical/Pillar Bureaus (80%)	Regional Bureau (60%)	Regional Bureau (29%)	PPL (15%)	Regional Bureau (13%)
Mission Front Office (69%)	Technical/Pillar Bureaus (45%)	PPL (24%)	Technical/Pillar Bureaus (15%)	General Council (13%)
General Council (31%)	ProgramNet (43%)	ProgramNet (10%)	M Bureau (13%)	Technical/Pillar Bureaus (9%)
ProgramNet (18%)	Learning Tab (14%)	M Bureau (6%)	Regional Bureau (10%)	ProgramNet (7%)
M Bureasu (12%)	General Council (14%)	General Council (5%)	ProgramNet (8%)	Learning Tab (4%)
Learning Tab (9%)	M Bureau (10%)	Learning Tab (5%)	Learning Tab (5%)	M Bureau (4%)

**Project Design**

<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>Financial Management</b>
Mission Program Office (100%)	Mission Program Office (96%)	Mission Program Office (93%)	Mission Program Office (89%)	Mission Program Office (96%)
Technical/Pillar Bureaus (89%)	ADS (91%)	ADS (63%)	ADS (71%)	ADS (74%)
Regional Bureau (81%)	PPL (67%)	Mission Front Office (47%)	Mission Front Office (59%)	Mission Front Office (58%)
PPL (79%)	ProgramNet (59%)	Technical/Pillar Bureaus (41%)	PPL (13%)	PPL (29%)
ADS (75%)	Mission Front Office (58%)	Regional Bureau (31%)	Regional Bureau (12%)	Regional Bureau (20%)
Mission Front Office (65%)	Regional Bureau (45%)	PPL (19%)	Technical/Pillar Bureaus (12%)	Technical/Pillar Bureaus (20%)
ProgramNet (11%)	Technical/Pillar Bureaus (43%)	ProgramNet (11%)	ProgramNet (11%)	M Bureau (19%)
M Bureau (8%)	M Bureau (11%)	M Bureau (9%)	M Bureau (7%)	ProgramNet (13%)

**Evaluation**

<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>Financial Management</b>
Mission Program Office (100%)	Mission Program Office (93%)	Mission Program Office (94%)	Mission Program Office (85%)	Mission Program Office (86%)
ADS (86%)	ADS (80%)	ADS (62%)	ADS (74%)	ADS (83%)
Mission Front Office (74%)	PPL (68%)	Technical/Pillar Bureaus (48%)	Mission Front Office (18%)	Mission Front Office (62%)
PPL (69%)	ProgramNet (55%)	Regional Bureau (31%)	PPL (14%)	Regional Bureau (47%)
Regional Bureaus (66%)	Regional Bureau (49%)	Mission Front Office (30%)	Regional Bureau (7%)	Technical Pillar Bureaus (44%)
Technical/Pillar Bureaus (59%)	Mission Front Office (41%)	PPL (28%)	Technical/Pillar Bureaus (7%)	PPL (43%)
ProgramNet (20%)	Technical/Pillar Bureaus (36%)	ProgramNet (10%)	M Bureau (4%)	ProgramNet (36%)
M Bureau (8%)	M Bureau (9%)	M Bureau (7%)	ProgramNet (0%)	M Bureau (33%)

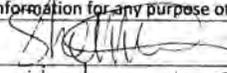
**Gender**

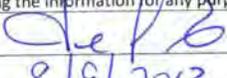
<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>Financial Management</b>
Gender Advisor Mission (97%)	Mission Program Office (80%)	Mission Program Office (73%)	Mission Program Office (61%)	Mission Program Office (52%)
Mission Program Office (95%)	Gender Advisor Mission (80%)	Gender Program Advisor (68%)	Gender Program Advisor (51%)	Gender Program Advisor (43%)
Mission Front Office (59%)	Regional Bureau-GA (44%)	Mission Front Office (27%)	Mission Front Office (24%)	Mission Front Office (31%)
Regional Bureau-GA (56%)	Gender Advisor-PPL (41%)	Technical/Pillar Bureaus-GA (25%)	Gender Advisor-PPL (17%)	Gender Advisor-PPL (23%)
Gender Advisor-PPL (41%)	ProgramNet (33%)	Regional Bureau-GA (16%)	Technical/Pillar Bureaus-GA (10%)	Regional Bureau-GA (21%)
Technical/Pillar Bureaus-GA (36%)	Mission Front Office (33%)	Gender Advisor-PPL (14%)	Regional Bureau-GA (5%)	Technical/Pillar Bureaus-GA (20%)
ProgramNet (14%)	Technical/Pillar Bureaus-GA (30%)	ProgramNet (6%)	ProgramNet (3%)	ProgramNet (18%)

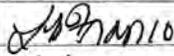
**Climate Change**

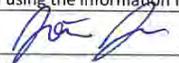
<b>Front Office</b>	<b>Program Office</b>	<b>Technical Office</b>	<b>Procurement</b>	<b>Financial Management</b>
E3 (69%) Mission Program Office (68%)	Mission Program Office (46%)	Mission Program Office (40%)	Mission Program Office (27%)	Mission Program Office (37%)
Regional Bureau (61%)	E3 (31%) Regional Bureau (27%)	E3 (30%) Technical/Pillar Bureaus (26%)	E3 (11%) Mission Front Office (11%) Technical/Pillar Bureau (8%)	Mission Front Office (30%) Technical/Pillar Bureaus (24%) Regional Bureau (18%)
Mission Front Office (47%) Technical/Pillar Bureaus (43%)	Mission Front Office (25%) Technical/Pillar Bureaus (19%)	Regional Bureau (23%) Mission Front Office (19%)	ProgramNet (3%)	ProgramNet (15%)
PPL (31%)	PPL (14%)	PPL (8%)	PPL (3%)	E3 (9%)
ProgramNet (7%)	ProgramNet (14%)	ProgramNet (4%)	Regional Bureau (0%)	PPL (9%)

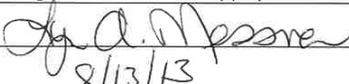
**Appendix 8. DISCLOSURE OF ANY CONFLICTS OF INTEREST**

<b>Name</b>	Sharon Bean
<b>Title</b>	Program Manager
<b>Organization</b>	EnCompass, LLC
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	AID-OAA-M-12-00021
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Evaluation of Policies, Reforms, and Other Major Activities
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	
<p>I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.</p>	
<b>Signature</b>	
<b>Date</b>	16 August 2013

Name	Leslie Fox
Title	Consultant
Organization	
Evaluation Position?	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
Evaluation Award Number <i>(contract or other instrument)</i>	AID-OAA-M-12-00021
USAID Project(s) Evaluated <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Evaluation of Policies, Reforms, and Other Major Activities
I have real or potential conflicts of interest to disclose.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	
<p>I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.</p>	
Signature	
Date	8/9/2013

<b>Name</b>	Lynne Miller Franco
<b>Title</b>	Vice President for Technical Assistance and Evaluation
<b>Organization</b>	EnCompass LLC
<b>Evaluation Position?</b>	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	AID-OAA-M-12-00021
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Evaluation of Policies, Reforms, and Other Major Activities
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i>	
<ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	
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<b>Signature</b>	
<b>Date</b>	8/8/13

<b>Name</b>	Jonathan Jones
<b>Title</b>	Evaluation Specialist
<b>Organization</b>	EnCompass, LLC
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	AID-OAA-M-12-00021
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Evaluation of Policies, Reforms, and Other Major Activities
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li><i>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i></li> <li><i>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i></li> <li><i>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i></li> </ol>	
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<b>Signature</b>	
<b>Date</b>	August 13, 2013

<b>Name</b>	Lyn Messner
<b>Title</b>	Project Manager
<b>Organization</b>	EnCompass, LLC
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	AID-OAA-M-12-00021
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award number(s), if applicable)</i>	Evaluation of Policies, Reforms, and other Major Activities
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	
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<b>Signature</b>	
<b>Date</b>	8/13/13



**EnCompass LLC**

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Tel: +1-301-287-8707

Email: [tcatsambas@encompassworld.com](mailto:tcatsambas@encompassworld.com)