

PN - AAP-467

ISN:33785

MANAGEMENT SUPPORT SERVICES
GRANT/LATIN AMERICA :

PLANNING ASSISTANCE INC.
FIRST YEAR EVALUATION

AUGUST 1979
COSTA RICA

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I. INTRODUCTION

Background

Planning Assistance, Inc. (PAI) a small non profit agency was established in 1973 to enhance the capacity of voluntary and governmental agencies in selected developing countries to effectively plan and manage their resources for achievement of national goals. Between 1975 and 1978, supported largely by various AID and mission grants totalling approximately \$700,000; PAI has undertaken planning projects in thirteen countries: Lesotho, Liberia, Upper Volta, Ethiopia, Cameroon, Sudan, India, Bangladesh, Sri Lanka, Haiti, El Salvador, Guatemala and Costa Rica. Until 1978 PAI operated principally out of its New York office and used a workshop approach emphasizing (a) collaborative planning by objectives among selected participants from the private and public sectors of a given country, (b) collaborative preparation of management, guidance materials, and (c) the training and use of local personnel to render ongoing planning assistance in the field.

Synopsis of Present AID Grant

In 1978 based on the results of earlier work, arrangements were made for a continuation of PAI services under a centrally-funded Management Support Services Grant (MSS). The MSS Grant changes the earlier country-specific PAI focus to a regional approach. The MSS grant provides PAI with funding totalling \$870,000* for a period of three years to provide management assistance in two regions. Assistance was to be provided for all three years in Latin America, and for the second and third years in either Africa or Asia.

The grant provides for a regional office staffed by three management specialists and an administrative assistant/secretary, all domiciled in Costa Rica and operating in that country and at least four other countries within the region. Two of these would be from among the countries in which PAI previously worked, namely Guatemala, El Salvador, and Haiti. Two other countries would be selected, by PAI subject to AID approval, based upon (A) requests received by AID Missions and from PVO's within countries and (B) survey visits to countries by PAI.

*FY 1978-\$234,000, FY 1979-\$309,000, FY 1980-\$328,000.

A second regional office would be established in either Africa or Asia contingent upon the completion of an evaluation of the first year of PAI's Latin America operation. This report describes the results of this first year evaluation.

The PAI proposal was of interest to and funded by AID because it represented a potentially promising departure from the type of PVO projects usually supported by AID. In brief, the PAI approach is to provide management assistance to indigenous private voluntary organizations (PVO's) and, where applicable, to related government organizations (GO's). PVOs and GOs desiring to expand or improve the delivery of services to achieve critical development goals can request PAI's services. PAI believes that achievement of these development goals depends in large measure upon the optimum performance of management functions: organizing, planning, staffing, directing and controlling. PAI sees its role as helping PVOs and GOs to improve their management, in directions determined not by PAI but by the organizations and beneficiaries themselves. Through planning meetings, workshops, seminars which emphasize open discussion, exchange and participation, PAI proposed to facilitate in each agency a more comprehensive view of the perceptions of its intended beneficiaries as well as more efficient and effective ways of delivering services to them. The PAI approach also seeks, where appropriate, to actively encourage collaborative planning - various agencies working together toward the achievement of integral development or sharing of resources - in order to have greater impact on the developmental needs of a given geographic region or a particular sector.

PAI planning and management services were proposed to be framed around a 15 step methodology which would be the basis of each workshop. Under this grant PAI responds to local requests by public and private organizations serving areas of basic human need. Workshops are arranged and costs are covered by the requesting PVOs or their sponsor. PAI meet with appropriate local people before the workshop to design an agenda, to prepare materials if needed, to make logistical preparations, and sometimes to train local staff. Essential materials are highly portable and include little more than flip chart paper and felt pens.

Workshops are of one to five days duration and consist of exercises to "break the ice" where necessary, an explanation of the 15 step methodology (or the portion most pertinent to a given agency), and a series of participatory sessions designed to elicit each participating agency's own analysis of its program objectives, constraints, and possible solutions to problems. Workshops usually result in written individual or collective workplans for agencies participating. PAI follow up assistance consists of return visits to evaluate adherence to workplans and plan further workshop sessions that may be felt necessary by the agencies themselves.

Evaluation Procedure

The three person evaluation team consisted of Jessica Romm of PAI; Gerald McIntyre*, an outside consultant contracted expressly for this task; and Edward Glaeser, AID/W/PDC/PVC Project Officer. This report says nothing not agreed upon jointly by its three authors.

The team visited Guatemala, Honduras and Costa Rica in that order between Monday August 20 and Saturday September 1. Most of the time was spent in Costa Rica where PAI's work was most extensive.

The methodology used was open interviews by one or more of the evaluation team members with individual agencies that had received PAI assistance in the past or had expressed interest in obtaining PAI's services in the future. A list of all contacts and the Individual Agency Questionnaire used can be found as Annexes A and B of this report. The last two sections of the questionnaire were the basis of questions put to AID Mission personnel in all three countries.

Agencies were usually asked to describe the nature and scope of their operation before being asked to respond to the questionnaire. A summary of findings of these sessions is also included as Annex C.

A separate questionnaire, based on the PAI proposal's logical framework, was the basis of discussions and interviews held with PAI staff; it is found as Annex D. The Project Design Summary (Logical Framework) is attached as Annex E.

*a NY State Attorney and director of a program providing legal assistance to the poor and former Peace Corps Volunteer in Guatemala.

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II. SUMMARY OF FINDINGS

A. Demand for Services, Staffing, Equipment, and Supplies

The PAI project assumes a PVO/GO desire for management assistance and indeed it was clear from the outset that, at least in the case of indigenous PVOs, there is a demand for such service. Of approximately 75 agencies contacted in three countries since the start of PAI operations in January 1979, thirty-five have shown active interest and 16 agencies have received assistance in 23 workshop sessions.

The PAI office, a modest but well appointed small building on the periphery of the San José business district, is the center of the PAI operations. It is staffed by three professionals, a secretary/administrative assistant, and watchman/handyman.

The process by which the professional staff was recruited appeared sensible -- newspaper ads were placed in Guatemala, Honduras, Salvador, and Costa Rica. The approximately 90 responses were screened and yielded 35 persons to be interviewed. The top ten were interviewed on several occasions.

The three professional staff are an appropriate mix of specialization, experience and education. Two of the professional staff, including the director, are Costa Rican while the third is a Colombian. All three are bilingual (English and Spanish), an important consideration for a program that is concentrating on the predominantly English-speaking Limón area. Each of them is intelligent and well motivated and has considerable presence, self assurance and a demonstrated ability to grow with the program. Numerous comments were received from various agencies on the ability of each of the staff members to develop rapport with socially, educationally, ethnically and linguistically diverse people.

The task required of each--the running of workshops using a single pretested methodology appears simple, but is in fact a complex and subtle in its application. All staff interviewed appeared to have been thrown at the task without appropriate training and objected to this having been the case. They were not given proper guidance on the approach to PVOs and GOs or on how to prepare a country survey and were not given an adequate definition of collaborative planning. All have overcome the initial difficulties and have developed an approach which

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augers well for the future. Nevertheless each of the staff members feels a current and continuing need for training. The philosophy of learning while doing had its detrimental effects. Many of the matters that are the subject of criticism in this report might have been avoided by the provision of appropriate, timely training by the New York office. But none of the staff felt there was an awareness of the appropriate training needed at that moment. Communications needed improvement as evidenced also by the lack of feedback on the field reports sent to New York.

Everything necessary for the provision of services is in place, including the office, staff, equipment and supplies with the exception of an automobile for the Costa Rica office. Apparently the \$6000 Budgeted for the vehicle is not sufficient to procure a suitable vehicle.

n. Country Surveys and Work Plan

The start of work in each country was preceded by the gathering of statistical information including regional data where available (primarily Costa Rica). In addition PAI had worked on previous one shot projects in both Guatemala and Costa Rica. As a result of the earlier work in both countries, PAI had some knowledge of the problems and opportunities to be encountered, as well as some knowledge of the PVOs and GOs, and some personal contacts.

Upon arrival in each of these two countries the PVOs involved in the earlier projects were contacted with the expectation that they would be interested in the services of PAI and that they might refer PAI to other agencies needing assistance. These contacts did not yield the results expected.

In addition, in the case of Costa Rica there was a review of the plans of appropriate government ministries. In all three countries the yellow pages of the telephone directory, information from AID Missions, as well as interviews with key persons working in development were relied on as basic research tools and agencies were contacted on this basis. The AID Missions did not appear to have a full understanding of PAI's functions or plans.

On the whole the approach in each country was somewhat ad hoc. While a questionnaire was sent out to many PVOs that might be interested in the services of PAI, there existed no uniform criteria for determining whether a given PVO would be an appropriate agency for PAI to work with.*

*At a later point PAI elaborated a set of minimum conditions for determining whether they could work with an agency: 1) that the agency works directly with beneficiaries, 2) is interested in receiving assistance, 3) has the power to make decisions over the use of its resources, 4) is willing to make whatever changes might be indicated. Obviously this still leaves a very broad potential field of operations.

It should be noted that the survey work in Guatemala and Honduras was not started until May and there have only been two visits since then. It thus remains incomplete.

In Costa Rica the Limón area was selected for special attention. This is a choice that makes sense since it is the poorest region of the country and has been targeted for special attention by both the Costa Rica government and the AID Mission. It is thus likely that more resources will be entering the area and that as a consequence adequate planning capability will be especially important.

Once the Limón area was chosen an effort was promptly made to hold a collaborative planning session involving a large number of PVOs and GOs working in the area. The session ultimately had to be cancelled. A factor in its cancellation was that PAI Costa Rica, at the urging of its New York headquarters, had moved hastily and without knowledge of or sensitivity to the political and administrative complexities of the situation. This is indicative of a general failure to take into account the political factors that inevitably affect work of this type in any country.

In Guatemala while the work done so far does not have a geographic focus, PAI has tentatively decided to make Quiché and/or Jalapa a focus of at least a portion of its future efforts.

In Honduras a tentative decision was made at the time of the evaluation to focus on Choluteca on the Pacific Coast and the south western region near the Guatemala-El Salvador border. These regions were selected because they are among the poorest in the country and at least in the case of Choluteca, there are a large number of PVOs working in the area.

In the case of all three countries the country work plan has not as yet been completed. There is a draft and the staff is awaiting the results of this evaluation before making final decisions completing the work plans.

C. Assistance Provided

The organizations with which PAI has been working are diverse in terms of purpose, program, staffing and funding. They include branches and affiliates of foreign organizations, some with foreign funding or staffing as well as others with no foreign ties whatsoever. They include government agencies and church organizations as well as nonsectarian PVOs. Programs include schools, cooperatives, health services, agricultural assistance, alcoholism, delinquency, family counselling, housing and civic education. Two of the organizations (Organización de Mujeres Limonenses-OML in Costa Rica, CONCAD in Guatemala) are federations of other organizations. The bases for determining which organizations are appropriate ones for PAI to work with are not always clear to the organizations nor to the AID Missions.

The central element of the assistance provided was a workshop covering the first seven of the fifteen management functions (See Introduction Pg. 3). The participants in these workshops varied. In some instances they were restricted to supervisory staff, in others the board members, in others to agency staff and board members combined, while in still others the community served by the programs was also included in the workshop. No discernible criteria exist for these variations except individual agency preference. In this regard it should be noted that the staff feels strongly that individual agency preference should be the decisive factor in determining who participates in the workshops. In at least two cases it appeared that the selection of participants may not have been appropriate to attain the desired results.

Workshops in Costa Rica were generally provided by all three staff members while those in Guatemala and Honduras were usually provided by one staff member because of the time and expense involved in travel. Agencies interviewed in Guatemala suggested the need for at least two facilitators at a workshop because of the excessive demands placed on one person. The agencies generally felt that the workshops were professional and well conducted, and were often surprised at the high level of participation attained. The individual agency role in designing and preparing for the workshops varied from agency to agency and appeared to be sensibly related to agency desires and capacity. While PAI has a set methodology it appears to be flexible enough to accommodate the special circumstances of diverse agencies. In all instances in Guatemala and Honduras the agency receiving assistance was responsible for providing the few supplies required and for all logistical arrangements based on agreement with PAI staff. In one instance a failure of communication resulted in inadequate facilities. This instance was in Guatemala where communication is more difficult.

Appropriate follow-up generally seems to be provided subsequent to the workshops, although it has yet to be seen how effective this will be in Guatemala and Honduras when the work in those countries increases. On some occasions the person providing the follow-up after the workshop was not the same person who initially worked with the group.

While it is still premature to reach any final conclusions as to the long term impact of the assistance provided, some benefits are apparent. However, the results do vary greatly depending on the agency's degree of sophistication and degree of previous exposure to planning as well as on their receptivity to change. Most agencies did report an improvement in their programs and somewhat greater efficiency as a result of the assistance they received. An example of one of the more successful impacts was with Escuela San Marcos, a bilingual school with a special interest in meeting the needs of its ethnically diverse community. The school had operated in the past without any semblance of

planning and without paying attention to the school's administrative structure. As a result of PAI assistance the school now is committed to planning, has a detailed work plan and for the first time in its history has a budget and knows how much it costs to educate a child. It also has a program for better relations with parents and with the church that sponsors it as well as with the community at large. Another less tangible but important benefit is the contagious enthusiasm that has been generated by the process. In this instance certain basic needs have been met, the continued lack of which might have threatened the existence of a valuable institution.

In other instances PAI's assistance has resulted in an agency's perceiving a need to change its focus. For instance one of the first agencies to receive PAI assistance under this grant, the Centro de Integración Familiar (CIF), in Costa Rica, decided as the result of a four day workshop that it needed to target more of its efforts in the Pacific region and in rural areas in general.

In the case of CONCAD in Guatemala the agency for the first time has a purpose for being other than the common funding source which caused the organization to be formed.

While the result for most agencies seems to be an increased capacity to solve their problems on their own, there are some agencies that could be in danger of becoming dependent on PAI in order to do any planning. However, PAI does seem to be aware of this pitfall.

There were also at least two instances of workshops that were held where the results of the workshop were significantly less than would normally be anticipated. In one instance essential people did not come to the workshop as anticipated. In the other instance PAI had inadequate knowledge of the agency and there was some misunderstanding on the part of the agency director as to what was required of his organization.

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III. APPLICATION OF FINDINGS TO PROGRAM DESIGN (LOGICAL FRAMEWORK)

The input assumption that PVOs/GOs need management assistance and have an active desire to receive it was supported by evaluation findings. Whether they request the services of PAI, however, depends, among other things, on PAI's establishing its reputation for sensitivity, tact and professionalism. PAI's training is not necessarily seen by recipient agencies as having an immediate or tangible impact on their field operations and, in fact, requires an agency to admit the possibility that it is not managing its resources optimally. In addition many agencies question the value of a service for which there is no charge. A well planned and well timed approach to each country as well as to individual agencies is extremely important for PAI.

The project design hypothesizes that if (inputs) regional offices are set up and staffed, backstopped by PAI's three U.S. professionals operating out of New York, and if their combined staff resources survey the PVO/GO situation in each target country, introduce these agencies to PAI's services and methodology, and run workshops certain outputs will result in the course of three years. These outputs include 1) a large number of agencies planning collaboratively, 2) management systems installed in many agencies, 3) selected PVO/GO personnel trained well enough in the PAI methodology to be able themselves to continue doing similar training, and 4) country coordinating councils formed as a result of exposure to PAI techniques which highlight the utility of PVOs/GOs collectively tackling developmental problems.

It is too early to test with rigor the above hypotheses or to do much more than speculate on the extent to which project outputs are having or are likely to have a measurable linkage with or impact on the achievement of project purpose -- "to institutionalize the provision of management assistance". Although the AID grant was signed in September 1978, PAI's Costa Rica office has been operating only eight months, the first several of which were absorbed in setting up the office, recruiting staff, etc.

As indicated earlier, PAI does seem to be having a valuable effect. The specific outputs called for all seem possible to one extent or another. The team felt that "collaborative planning" as PAI uses the term to mean several agencies planning together and including in the process the participation of beneficiaries could eventually occur

under the right conditions, but not at the outset. Some of our findings did suggest however, that these desirable objectives require a careful step by step approach and collaborative planning isn't as assured an output as originally thought. The team believes that staff of local PVOs and GOs can be trained in PAI methodology. The institutionalization of the PAI function is more difficult. More time is required to reach a conclusion as to its feasibility. In Guatemala and Costa Rica previously existing organizations may be able to fill the role of coordinating councils as envisioned in the grant proposal.

In trying to speculate about the significance of the above findings over time, the team grew concerned about whether even at a later date any measurement could be made in view of the absence of adequate baseline data in each country.

Such data should be collected before PAI begins operating in a given country or during its early operations in each. Either way some attempt should be made to produce a systematic written description of each country's particular situation -- the array of agencies operating, the scale of these operations, the general operating atmosphere, the degree to which PVO's already cooperate, governmental attitudes toward private institution, etc. As it is, PAI is treating operating planning and survey work as fulfilling its obligations to establish baseline information. Even this work, however, is not yet available in written form. The team feels it is important that more general baseline information be formulated outside the sphere of PAI's day to day operations.

The PAI modus operandi in its early months, led to some difficulties and problems that the team feels could and should have been avoided. It appears that the small Costa Rica office staff, hired between January and March 1979, was left without sufficient PAI headquarters guidance during the first several months of its operation. There appears to have been a rush to action, commendable in a way, but with great potential for being counterproductive. Too little time was spent orienting and training the Costa Rica staff. The team felt that the PAI supposition that a fully qualified staff could be hired and function with only minimal exposure to the PAI approach belies the difficulties of the task. Also since all Costa Rica and New York staff dealing with Central America was new and their respective roles unclear, too little guidance and supervision was rendered to insure the kind of methodical data collection, study, surveying and careful planning leading to a first set of workshops in each country, sessions that should have been professional models in order to have good "demonstration effects". Instead some potentially serious errors were made in two of the three countries the team visited. The PAI image problems resulting in both countries seemed surmountable and the capable Costa Rica staff seemed to have been usefully self-critical and therefore unlikely to repeat such mistakes.

The completion of survey work recommended earlier and workshop planning, execution and follow-up are time consuming tasks, especially given the geographic spread of the PAI Latin American operation. If outputs are to be achieved with consistent quality and in the magnitudes envisioned in more than the three countries in which PAI presently is involved, it is unlikely that a three person staff supported by a single New York professional can do the job. This was further emphasized by interview responses which recommended that at least two PAI staff should run every major workshop; that a single PAI staffer should be available as the principal contact for a given agency; and that PAI consider basing a person full time in Guatemala and Honduras. If these suggestions are to be taken seriously, and PAI intends to operate in three or more countries,* either, the three person Costa Rica staff will have to be augmented in some way or PAI must limit its scope of operation by being much more selective about workshops offered.

A related problem noted by the team is the relatively indiscriminate selection of PVOs to be assisted in each country. With the cancellation of the workshop in Costa Rica's Limón region -- an area that was to have absorbed 80% of PAI's time according to initial plans -- PAI seemed to begin responding on a first-come first-served basis to PVO requests in the three countries. Under the circumstances, this may have seemed logical to a point. Nevertheless, the team felt, as stated before, it would have been far better had detailed country surveys and planning occurred followed by deliberate selection of a few agencies to be assisted in each country. Certainly as demand grows so too does the need for careful prioritization and selection of agencies to be assisted.

The PAI Central America operation has considerable promise. By following the recommendations of this report, we are confident that the program's ability to achieve its purpose will be much enhanced.

As a final note, the evaluation team would like to extend their thanks to the Costa Rica staff for the invaluable assistance they provided in the preparation of this report.

*Several agencies in Nicaragua have requested PAI assistance. Although this is a country not originally included in the grant, PAI may wish to consider operating there. This too, has serious staffing implications.

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RECOMMENDATIONS

1. That PAI not enter additional countries without first considering the impact on its capacity to provide an appropriate level of service in Costa Rica, Guatemala and Honduras;
2. That PAI gather more adequate baseline data in each of the three countries in which it is now working and that no work be undertaken in additional countries without the prior collection of adequate baseline data in such a manner as to permit the measurement of results at a later time;
3. That PAI use a more systematic approach in its initial entry into new countries as well as in its initial efforts with new agencies;
4. That PAI should develop more detailed planning and management assistance plans for Costa Rica, Guatemala, and Honduras as called for in its proposal to AID;
5. That the director of PAI take a more active role in the work of the Costa Rica office and establish regular and more effective communications with the Costa Rica staff;
6. That the respective roles of the Director of the Costa Rica office, the Assistant Manager of Programs and the Director of the MSS grant be clarified;
7. That PAI establish a formal periodic internal evaluation system;
8. That PAI's purposes and work be made clear to appropriate AID personnel in the countries where PAI operates;
9. That PAI provide new staff with more extensive, timely and systematic training and orientation, and that ongoing training be provided for current staff;
10. The PAI show increased sensitivity to political factors impacting on their work;
11. That a minimum of two facilitators be provided at each major workshop;
12. That PAI continue with its efforts to establish a local advisory board in Costa Rica and investigate the feasibility of establishing such boards in Guatemala and Honduras;

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13. The money budgeted for an automobile should either be augmented to provide an adequate sum to purchase a vehicle if it is determined that one is needed or the money should be reallocated to another part of the budget.

ANNEX A

LIST OF ORGANIZATIONS AND PERSONS INTERVIEWED BY COUNTRY

Guatemala

1. AID Mission: Eliseo Carrasco, Director
Jack Eyre, Program Officer
2. CONCAD: Eduardo Munzon, President
Esperanza de Fuentes, Secretary
Julio Morales
Marco Antonio
3. El Movimiento Guatemalteco de Reconstrucción Rural:
Juan Córdoba, Director
4. ASEXA: María de Zúñiga, Adviser
5. DAN: Leslie Ingram, Director
6. GEMEC: Mark Walker, Coordinator
7. Vision Mundial: Don Weisbrod, Director

Honduras

1. AID Mission: Andrea Mohn, Loan Officer and PVO Coordinator
2. ASCERADE: Nora de Martinez, Director of Training

Costa Rica

1. AID Mission: Gussie Daniels, Program Officer
David Olineer, Urban Industrial Development Officer
2. Centro Orientación Familiar: José Carlo, Director
3. Caravanas de Buenas Voluntad: Jonas González, Director
4. Jorge Poveda: Adviser to Minister of Health
5. Escuela San Marcos: Joycelyn Savyers, Directora
6. COF, Limón: Monserrat Casas, Director
7. INSA: Mayra Dixon, Supervisor
8. Caja de Seguros: Ana Ma. Headley, Head of Social Service Section

(Cont. Annex A)

9. Organización de Ciudadanas Costarricenses: Amalia Alvarez,
Director
10. Ministerio de Cultura: Rodrigo Madrigal, Vice-Minister
11. Centro Integración Familiar: Henry Villalobos, Program Director
Marvin Granados, Executive Director

STAFF

1. Marielos Calvo, Director
2. Delroy Barton Brown, Associate Director
3. Leonardo Duque, Associate Director

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ANNEX B

COUNTRY: _____

Agency Name: _____

Name/Title of Respondent: _____

Sector Work: _____

QUESTIONNAIRE: INDIVIDUAL AGENCIES/GOVERNMENT OFFICIALS

A. INVOLVEMENT/MOTIVATION

1. How did your agency become involved with PAI? _____

AID _____ Approached by PAI _____ Recommended by other _____

2. What did you think you (or others) would gain? _____

3. Did (does) the idea of collaborative planning seem a much different and better way of approaching development problems? _____

B. RESULTS

4. What kind of assistance was requested and provided? _____

5. How was the management assistance provided (meetings, workshops, training, etc.)? _____

6. What was accomplished? _____

7. What was your role? _____

8. What was the role of PAI? _____

C. IMPACT

9. What are you (PVO) doing differently or better as a result? _____

10. What improvement has there been in the efficiency of your overall program?

Your ability to meet program objectives _____

Your relationship with other agencies with similar objectives? _____

11. To what extent did PAI assist in achieving these changes in your mode of operation?

D. ACHIEVEMENT OF NATIONAL GOALS THROUGH PLANNING

11. What national needs have been met through collaborative planning to-date?

12. What collaborative planning would you like to see in the future? _____

13. What are the next logical steps for your own agency in utilizing PAI training?

What further involvement would you like with PAI? _____

Have arrangements been made for follow-up/monitoring/evaluation? _____

E. GENERAL PERCEPTIONS

14. What are the major advantages and benefits of the PAI approach to management (substance, concept, form, and materials)? _____

What areas of the assistance provided could be improved or changed? _____

How? _____

15. How is PAI seen by USAID Mission, PVOs, GOs?

16. What is the difference between those PVOs involved with PAI and those dealing with USAID?

17. Does PAI have a solid approach for tying together its services and the needs of the USAID?

Annex C

(1) RECIPIENT OR GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	GUATEMALA COMMENTS
IID HISSEVON GUATEMALA (A)	1979	STRENGTHEN PVI, IN FORM ACTION OF PROPOSALS					SERVICE IS NEEDED
CONCA (10 ORGANIZATIONS) (B)	1977 1979	PROFESSIONAL APPROACH TO PLANNING & FOLLOW-UP	TRAINING IN 1-8 STEPS OF METHODOLOGY 2 SESSIONS 2 DAYS EACH	- DEFINITION OF LONG-TERM PROGS - PLAN OF WORK	STAFF TRAINING AND FOLLOW-UP OF PLAN OF WORK NOV. 1979	METHODOLOGY PARTICIPATION OF GOVT. IN PROCESS	WHEN SESSIONS ARE LONG, BEST TO HAVE TWO FACILITATORS
EL MOVIMIENTO GUATEMALTECO DE RECONSTRUCCION RURAL (C)	1979	SYSTEMATIC PLANNING IN FIELD- UP			STAFF TRAINING PROGRAM DESIGN UNIT SEPT-OCT 1979		
ASEX 4 (2 ORGANIZATIONS) (B)	1978	APPROACH TO PLANNING AND FOLLOW-UP	IDENTIFICATION OF CAPACITIES DESIGN OF TRAINING COURSE	DESIGN OF COURSE	DESIGN AND CONTACT OF TRAINING COURSE IN MARCH 1978	PARTICIPATION OF GOVT. IN PROCESS	
PROGRAMA DE AYUDA MUTUA (B)	1979	PLANNING AND FOLLOW-UP DESIGN OF TRAINING COURSE	TRAINING IN 1-8 STEPS OF METHODOLOGY INCLUDING IDENTIFICATION OF CAPACITIES	MORE TO BE DONE IN RURAL TRAINING UNITS	PLANNING AND CONTACT OF TRAINING COURSE MAR 1979	PARTICIPATION OF GOVT. IN PROCESS	BEST TO HAVE GOVT. PERSON IN CHARGE OF DESIGN MONITOR- ING
CEMEC (B)	1979	APPROACH TO PLANNING AND FOLLOW-UP DESIGN OF TRAINING COURSE	STAFF TRAINING IN IDENTIFICATION OF CAPACITIES	IDENTIFICATION OF CAPACITIES UNITS	PLANNING AND CONTACT OF TRAINING COURSE MAR 1979	PARTICIPATION OF GOVT. IN PROCESS	
VISION HUNDIAL (59 PROJECTS) (B)	1979	RURAL STAFF CAPACITIES IDENTIFICATION OF TRAINING COURSE	TRAINING IN 1-8 STEPS OF METHODOLOGY IDENTIFICATION	TO BE EVALUATED BY INV.		PARTICIPATION OF GOVT. IN PROCESS	IDENTIFICATION OF CAPACITIES IDENTIFICATION OF CAPACITIES
A. GOVT OFFICIAL B. RECIPIENT OF ASSISTANCE C. POTENTIAL RECIPIENT	<h1>Best Available Document</h1>						

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ANNEX C

GUATEMALA

AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
AID MISSION GUATEMALA (A)	1979	Strengthen PVOs in formation of proposals					Service is needed
CONCAD (10 organizations) (B)	1977 1979	Professional approach to planning and follow-up	Training in 1-2 steps of methodology 2 sessions 2 days each	-Definition of CONCAD purpose -Plan of Work	Staff training and follow-up of plan of work Nov. 1979	Methodology Participation of group in process	When sessions are long, best to have 2 facilitator
(C) EL MOVIMIENTO GUATEMALTECO DE PROMOCION RURAL	1979	Systematic planning and follow-up			Staff training program development Sept-Oct 1979		
ASEXA (32 organizations) (B)	1978	Assistance in planning and managing resources	Formation of coordinating council of health organizations	Council is functioning	ASEXA will contact PAI Trained facilitator exist in ASEXA.	Participatory methodology	
PROGRAMA DE AYUDA MUTUA (B)	1979	-Systematic planning -Management tools -Integration of Programs	Training in 1-2 steps of methodology -Formation of work plans	More efficient use of time Better programming	Training and Follow-up Nov. 1979	Group dynamics Systematic approach to planning	Good to have staff person in country for closer monitoring
CEMEC (B)	1979	Staff training and management functions on all levels	Staff training in methodology	Interest in learning more	Meeting with staff Sept 1979	Systematic and participatory methodology	

CUATEMALA

AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
VISION MUNDIAL (80 Projects) (B)	1979	Paise staff consciousness on importance of participatory planning	Training in 15 management functions through participation	To be evaluated by W.V.		Systematic Participatory Methodology	1st session should include homogeneous group
A=Gov't Official B=Recipient of Assistance C=Potential Recipient							

HONDURAS

AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
AID MIS- SION HONDURAS (A)	1979	Resource for new PVO's in program plan- ning					Service is needed
ASCEPADE (C)	1979	Methodology			Would Share space and some work	Resource	Best to work with homogeneous groups-1st session

COSTA RICA

AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
AID MIS- SION COSTA RI- CA (A)	1979	Resource for PVOs to deve- lop proposals	Discussion of one PVO program		Possibly for pro- gram in Lirón	Resource	
CENTRO DE ORIENTA- CION FA- MILIA (San José) (B)	1977 1978 1979	Systematic Planning and management	Methodology training	Utilization of method- ology -formation of colla- borative efforts	They will contact PAI Have train- ed person- nel	Catalyst role of PAI, very important	

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AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
CAPAVA- MAS DE BUENA VO- LUNTAD (B)	1976 1977 1979	1979-Program Development	Program development for financ- ing	Awaiting financing	When re- sources are avail- able for program implemen- tation	Catalyst Pole	
PUEBLITO (B)	1979	Program and Organization restructuring	Training in methodology 1-11 func- tions	Reorganiza- tion of institution; involvement of all staff levels; plans of work.	On-going	Participa- tory method- ology	Consistency of staff follow-up
ROFGE POVEDA (Formerly Vice Min- ister, Culture) (P/C)	1979	Motivation, participation in planning process			Yes, but in other Ministry	Methodology systematic participa- tory ap- proach	Need to understand the nuances of Govern- ment opera- tions and relation- ships
ESCUELA SAN MAR- COS LIMON (B)	1979	Administrative organization	5 day work- shop manage- ment func- tions 1-11	Plan of work admin- istrative program budget	Financial planning (no date)	Group dyna- mics, facil- itator role	

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AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
CENTRO ORIENTACION FAMILIAR (OPL) Limón- 34 organizations (E)	1979	To bring 34 women's organizations together for collaborative planning	2 workshops held in training of methodology and development of work plans	Development of common objectives by sectors	Monitor ongoing basis progress of working committees and training	Participatory methodology	-Close follow-up -Establish criteria for evaluation
INSTITUTO DE ALCOHOLISMO (A/C)	1979	Train in planning	Program preparation and evaluation techniques (13 days workshop 1 day follow-up)	Plan of work that everyone knows and uses, more efficient use of time	Evaluation Follow-up in Nov 1979	Methodology	Would like assistance in assessment of specific projects
CAJA DE SEGURO (A/C)	1979	Plan to work for a project on elderly			Mid-Sept 1979		
ORGANIZATION OF CITIZENS OF COSTA RICA (B)	1979	Systematic organization of work plan	5 day workshop in development of work plan	Improved organization of work	Evaluation of work completed in Nov 1979	Participatory methodology Group Dynamics Facilitator role	

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AGENCIES AND GOV. OFFIC.	EXPERIENCE WITH PAI	EXPECTED GAINS FROM PAI ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ IMPACT OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	ADVANTAGES OF PAI ASSISTANCE	COMMENTS
R. MADRIGAL (Vice Minister of Culture) (A/C)	1979	Training of staff in participatory methodology			No date yet	Participation dynamic of methodology	Need to know the operations of government agencies
CENTRO INTEGRACION FAMILIAR (P)	1977 1979	Plan programs	4 day workshop on methodology (1-8 steps)	New program design and staff organization	Program not ready	Systematic approach makes planning comprehensible	Would like a seminar on rural areas- collaboration
A=Gov't Official B=Recipient of Assistance C=Potential Recipient							

AGENCIES AND GEN. OFFICIALS	EXPERIENCE WITH PAI	EXPECTED GAINS FROM THIS ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/ INDICATOR OF ASSISTANCE	PLANS FOR FUTURE PAI ASSISTANCE	HANDLER NAME OF PAI SECURITY	COMMENTS
AID MISSION HONDURAS (A)	1979	Provide for new PAI in Honduras					SENATE IS IN PROGRESS
ASCEPADE (C)	1979	Honduras			WORKS ON OFFICE SPACE AND OTHER WORK	REQUIRE	WANT TO WORK WITH HONDURAS SENATE - 1st Session
AID MISSION COSTA RICA (A)	1979	Provide for new PAI in Costa Rica	Development of PAI in Costa Rica		POSSIBLY FOR PROGRAMS IN RURAL	REQUIRE	
CENTRO ORIENTACION FAMILIAR (CANAL) (B)	1977 1978 1979	Provide for new PAI and improvement	IN PROGRESS TECHNICAL	WORKS ON PROVIDING TECHNICAL SUPPORT FOR PAI	THEY WILL REQUIRE THE NEW PAI'S IN PROGRESS		3rd PAI RELIEF IS NOT VERY WORKING
CARAVANAS DE RUELA VOLUNTAD (B)	1976 1977 1979	1979 PROGRAM TECHNICAL	PROGRESS TECHNICAL	WORKS ON TECHNICAL SUPPORT FOR PAI	1979 PROGRAMS IN PROGRESS TECHNICAL	URGENT BILL	
DUCARITO (A)	1979	Provide for new PAI in Ducarito	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS	TECHNICAL SUPPORT FOR PAI	CONSIDERATION OF STAFF TRAINING
AGENCIA PONDRA (A) (B) (FORMERLY VINO HINSTER, CALMEX)	1977	Provide for new PAI in Pondra	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS TECHNICAL	TECHNICAL SUPPORT FOR PAI	WANT TO WORK WITH THE MARCHES OF CONGRESS AND TECHNICAL
RECIBIDA SAN MARCOS LINEN (B)	1977	Provide for new PAI in San Marcos	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS (NO PAI)	TECHNICAL SUPPORT FOR PAI	
CENTRO ORIENTACION FAMILIAR (B) (OLM) UNID 3/10/1979	1977	Provide for new PAI in Olm	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS TECHNICAL	TECHNICAL SUPPORT FOR PAI	- CLASS PROGRESS - CLASS PROGRESS FOR EDUCATION
INSTITUTION ACCUMINON (A/B)	1977	Provide for new PAI in Accuminon	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS TECHNICAL	TECHNICAL SUPPORT FOR PAI	WANT TO WORK WITH TECHNICAL FOR TECHNICAL
INSTITUTION DEFERREDO (A/C)	1977	Provide for new PAI in Deferredo	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS TECHNICAL	TECHNICAL SUPPORT FOR PAI	
INSTITUTION CITIZENS OF COSTA RICA (B)	1977	Provide for new PAI in Citizens of Costa Rica	TECHNICAL SUPPORT FOR PAI	WORKS ON TECHNICAL SUPPORT FOR PAI	PAI IN PROGRESS TECHNICAL	TECHNICAL SUPPORT FOR PAI	

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EXPERIENCE WITH DAE	EXPECTED GAINS FROM DAE ASSISTANCE	ASSISTANCE PROVIDED	RESULTS/IMPACT OF ASSISTANCE	YR'S FOR WHICH DAE ASSISTANCE	INDICATORS OF DAE ASSISTANCE	COMMENTS
AFICAR (A/C) 1979 MINISTEC OF CULTURE	TRAINING OF STAFF IN PARTICIPATORY MANAGEMENT PLAN PROGRAMS	4241 WORKSHOPS ON PARTICIPATORY PLAN PROGRAMS (1-8 COUNTRIES)	NEW BUSINESS DESIGNED AND START OPERATING NOT ONLY	1977-1979	NO DATE YET	NEED TO KNOW THE DYNAMICS OF PARTICIPATION - WHICH USE A SYSTEM OF FEEDBACK - COLLABORATION
PRO INTEGRACION MILITAR (B) 1977 1979						

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2.7

PART I - Input Level

A. STAFFING

1. How were management assistance personnel recruited? _____

2. How were they screened? _____

3. Are they appropriate by experience, education and dedication for the job?

4. Once selected, was staff properly oriented and trained? _____

B. METHODOLOGY

5. Is a clearly defined "management assistance methodology" available, understood by PAI trainers, and being used? _____

6. Are "training, workshops and follow-up" being provided as described in the im-
plementation plan? _____
When? _____
7. Have the materials necessary for the effective functioning of the program - equip-
ment, transport, visual aids - been provided? _____

PART II - Output Level

A. PLAN OF WORK

1. How - by what process - has PAI identified PVO/GO, needs for management assistance?

Costa Rica _____
Guatemala _____
Honduras _____

2. What baseline data on local PVOs have been collected? _____

3. How many requests for assistance have been received (total)?

Costa Rica _____

Guatemala _____

Honduras _____

4. Have country plans been produced as indicated in project proposal?

Costa Rica _____ Time Period: _____

Guatemala _____ Time Period: _____

Honduras _____ Time Period: _____

B. DELIVERY OF MANAGEMENT ASSISTANCE

5. How have requests been translated by PAI into the delivery of management services?

<u>Country</u>	<u>Collaborative Planning</u>	<u>Individual Assistance</u>	<u>Training</u>	<u>Coordinating Councils</u>
Costa Rica	_____	_____	_____	_____
Guatemala	_____	_____	_____	_____
Honduras	_____	_____	_____	_____

COLLABORATIVE PLANNING

6. To what extent have collaborative planning and program coordination occurred among agencies sharing development goals?

<u>Country</u>	<u>No. Of Agencies Involved</u>	<u>% Of First Experience With PAI</u>	<u>No. Of Collaborative Sessions</u>	<u>Total No. Of PVOs In Country</u>
Costa Rica	_____	_____	_____	_____
Guatemala	_____	_____	_____	_____
Honduras	_____	_____	_____	_____

INDIVIDUAL ASSISTANCE

7. To what extent has individual assistance occurred?

<u>Country</u>	<u>No. of Agencies Involved</u>	<u>% Of First Experience With PAI</u>	<u>No. Also Involved in Collaborative Planning</u>	<u>Average No. of Sessions</u>
Costa Rica	_____	_____	_____	_____
Guatemala	_____	_____	_____	_____
Honduras	_____	_____	_____	_____

What evidence is there of "improved performance of all management functions on the part of individual agencies" exposed to PAI assistance?

Costa Rica _____

Guatemala _____

Honduras _____

Which management functions require more assistance? _____

Which management functions served as introductions into the agencies?

Did the type of assistance vary by country or by type of agency? _____

TRAINING

8. Have (or when will) training occur?

<u>Country</u>	<u>Agency Directors</u>	<u>Program Directors</u>	<u>Board of Directors</u>
Costa Rica	_____	_____	_____
Guatemala	_____	_____	_____
Honduras	_____	_____	_____

9. Have (or when will) local management assistance personnel, two per country, been (be) identified and trained?

Costa Rica _____

Guatemala _____

Honduras _____

COORDINATING COUNCILS

10. What are the prospects for the establishment of "coordinating councils?"

Costa Rica _____

Guatemala _____

Honduras _____

MATERIALS DEVELOPMENT

11. What forms, letters, and the like have been prepared to ensure good record keeping and follow-up? _____

To what extent are written materials in use at PAI workshops? _____

What additional materials, if any, appear to be needed? _____

What progress has been made regarding production and distribution of published management materials at N.Y. Headquarters? _____

Costa Rica _____

Guatemala _____

Honduras _____

4. How does PAI deal with PVO question about the maximization of use of their current resources versus finding other funding in future? _____

5. Does the plan of work represent the most effective and/or economic way of achieving goals and objectives? _____

6. Regardless of what is being achieved, is the PAI approach (per input - output schematic) the most sensible means to this particular end? _____

7. Is the PAI model as observed in the Latin American 'theatre of operation' working well enough as yet to warrant its immediate extension to Asia or Africa?

8. What logical framework redesign, if any, is suggested before fuller extension of the program? _____

(Please Refer To Page 3 Of Questionnaire - Items 15, 16, and 17)

How is PAI seen by USAID Mission, PVOs, GOs? (Add comments on reverse side of sheet)

	<u>USAID</u>	<u>PVOs</u>	<u>GOs</u>
Costa Rica	_____	_____	_____
Guatemala	_____	_____	_____
Honduras	_____	_____	_____

What is the difference between those PVOs involved with PAI and those dealing with USAID?

	<u>PVO/PAI</u>	<u>PVO/USAID</u>
Costa Rica	_____	_____
Guatemala	_____	_____
Honduras	_____	_____

Does PAI have a solid approach for tying together its services and the needs of the USAID?

Costa Rica	_____
Guatemala	_____
Honduras	_____

SECTION VI
PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

HANNEX E
Life of Project: _____
From FY 78 to FY 81
Total U.S. Funding \$870,263
Date Prepared: 6/78

Project Title & Number: Planning Assistance, Inc. (PAI)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal. The broader objective to which this project contributes:</p> <p>To effect LDC recognition of a significant PVO role in the development process in sectors deemed important by the LDCs.</p>	<p>Measures of Goal Achievement:</p> <p>Recognition of role of PVOs in development process Collaboration among PVOs and GOs in development programs Innovation by PVOs and GOs in development programs</p>	<p>Evaluation/interviews/field verification Baseline Statement</p>	<p>Assumptions for achieving goal targets:</p> <p>LDC policies permit expanded role of PVOs. PVOs/GOs are development-oriented.</p>
<p>Project Purpose:</p> <p>To institutionalize provision of management assistance in selected regions and LDCs.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <ol style="list-style-type: none"> 1. PAI assistance phased out after 3 years in given regions/LDCs. 2. PVOs/GOs doing more and better management, collaborative planning, and cost-efficient provision of services. 3. PVOs/GOs using management assistance materials. 4. LDCs providing own training in management assistance. 	<p>Evaluation/interviews/field verification Target group survey Baseline statements as points of reference in given regions/LDCs.</p>	<p>Assumptions for achieving purpose:</p> <p>Better management will improve PVO/GO operations. Development-oriented agencies desire collaboration to achieve common purposes.</p>
<p>Outputs:</p> <ol style="list-style-type: none"> 1. Collaborative planning among PVOs/GOs 2. Good management practices 3. Management training for PVO/GO personnel 4. LDC mgmt. assistance personnel trained in PAI approach 5. Established country coordinating councils 5. Published management materials 	<p>Magnitude of Outputs: In 10 countries in two regions:</p> <ol style="list-style-type: none"> 1. 150 agencies collaboratively planning. 2. 100 agencies practicing good management. 3. 180 agency personnel trained. 4. 20 management assistance personnel trained. 5. 10 councils established in 10 countries. 6. 6 management books published. 	<p>PAI hqds. & field reports USAID reports Evaluation/field verification</p>	<p>Assumptions for achieving outputs:</p> <p>PVOs/GOs need management assistance. Cooperation of LDC leaders/governments is rendered. Optimum timing of mgmt. assistance in PVO/GO budget cycles is possible.</p>
<p>Inputs:</p> <ol style="list-style-type: none"> 1. PVO/GO desire for good management 2. Competent mgmt. assistance personnel 3. Tested mgmt. assistance methodology 4. Training/Workshops/Followup 5. Equipment, transport, materials, country plans, other inputs 	<p>Implementation Target (Type and Quantity)</p> <p>See Implementation plan</p>	<p>Requests for assistance in LDCs Resumes & performance evaluations of personnel. Evaluation Reports Financial Statements</p>	<p>Assumptions for providing inputs:</p> <p>Cooperation of LDC leaders/gov'ts is rendered. Optimum deployment of program personnel and funding occurs.</p>

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