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**AGENCY FOR INTERNATIONAL DEVELOPMENT**

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**Administrator's  
Evaluation Studies Agenda  
FY 1992-1994**

**June 1992**



**Center for Development Information and Evaluation  
Directorate for Policy**

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# **Administrator's Evaluation Studies Agenda**

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**FY 1992-1994**

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# INTRODUCTION

**F**undamental to achieving management excellence in A.I.D. is improving our capability to manage for results. To achieve the best results possible from our development programs, we must know what we are achieving and the kinds of programs that are most effective in differing country situations.

That is why I began the Administrator's Evaluation Initiative a year ago. The Initiative consists of:

- the development and institution of a regular and comprehensive performance monitoring system to measure project and program impact;
- a program of rigorous evaluation studies of program and operational issues of strategic importance to A.I.D.; and
- increased use of these development results in establishing our priorities and allocating our resources.

This Evaluation Studies Agenda addresses the second of these elements. It identifies strategic performance issues that will be rigorously evaluated by CDIE at the Agency level to provide the information needed to effectively manage A.I.D. and its development programs. Evaluations of individual projects, individual country programs, or bureau/regional programs are the responsibility of the Missions and bureaus that implement those programs and are not included in this Agenda. The Agenda is set on a 3-year "rolling plan" basis, to be updated annually. This first revision covers the period FY 1992-1994.

Criteria for the selection of topics included in this Agenda are:

- the relevance of the topic to strategic decision-making and the likelihood that the results will be well-utilized;
- the operational importance of the topic in terms of current or planned resource allocations;
- the feasibility of conducting a meaningful evaluation (Are data available and is experience adequate?);
- the adequacy of CDIE resources (staff and budget) to perform the study well; and
- balance/coverage of the agenda across the important program areas of A.I.D.'s portfolio.

We have been pleased with the positive, thought-provoking responses that we have received concerning the Agenda from a number of A.I.D. managers in Washington and the field and from OMB. Where possible, we have integrated these responses into this version of the Agenda.

**Ronald W. Roskens**  
Administrator  
Agency for International Development

## Section I

# PROGRAM AND POLICY EVALUATIONS

**T**his section briefly describes ongoing and planned evaluations focused on strategic program and policy issues. Some of these evaluations will be desk studies, where data collection and analysis can be accomplished in the United States, primarily in A.I.D./Washington, based on A.I.D. documentation and other secondary sources. A few others will require limited fieldwork by one or two researchers, primarily to verify or investigate key issues raised in the course of desk research. The majority of these evaluations will require full field-based assessments in which, after the completion of a literature review and key interviews in the United States, several teams of three or four evaluators will each spend 3-6 weeks overseas conducting a series of country case studies. On the average, a desk study will take 4-5 months to complete, a limited fieldwork study 6-8 months, and a field assessment 12-18 months.

# A. Economic Policy Reform & Public Sector Management

## 1. Social Safety Nets in Economic Adjustment

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### **Objective**

To review the experience with social safety net programs designed to counter the potential adverse consequences of economic adjustment, assess the advisability of such programs, and identify the lessons learned and policy implications.

### **Rationale**

A.I.D. is likely to continue promoting economic policy reform through direct dialogue with aid-recipient governments and indirectly through its contributions to the efforts of other international agencies. The Agency will continue to be called upon to allocate resources to social safety net efforts deemed essential for successful adjustment. It is therefore important to identify whether such interventions are justified and how they can be most effective.

### **Description**

Begun in October 1991, this evaluation is an *ongoing desk study*, which will describe and assess the effectiveness, costs, and benefits of common safety net interventions. Key questions being addressed are:

- Have the benefits of special social safety net interventions justified their costs?
- What are the most efficient mechanisms?
- What are the respective roles of the public and private sectors in these programs?
- Have safety nets been effective in protecting the poor and other priority groups at risk during economic adjustment?
- How should A.I.D. intervene if such types of intervention are desirable?

The first, more general, part of the desk study was completed in April 1992, and the final portion, dealing specifically with A.I.D. experience, is underway. Findings will be disseminated late in FY 1992.

## 2. Methodological Approaches to the Assessment of Policy Reforms

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### **Objective**

To help A.I.D. refine methods for evaluating economic policy reform programs.

### **Rationale**

In recent years, a large share of A.I.D.'s program resources has supported the reform of economic policies at the macroeconomic and sectoral levels. Some voices, inside and outside of the Agency, have called for increasing the concentration of assistance in this area, while others have doubted the effectiveness of this approach. This study will improve A.I.D.'s ability to assess the effectiveness of policy reforms and assistance supporting those reforms.

### **Description**

In assessing how successful developing countries and international donors have been in promoting policy reform, analysts have to deal with complex technical and implementation issues. Some of the methodological difficulties relate to:

- disentangling the impact of policy reforms from the effects of exogenous variables;
- predicting time lags between the implementation and intended effects of reforms;

- assessing the incremental value of reforms;
- dealing with factors (e.g., flawed implementation) that affect the credibility and success of the reforms; and
- assessing a developing country's ability to sustain reform processes to their successful conclusion.

This assessment will be performed as a *desk study* analyzing economic data and project and program documentation available in Washington from A.I.D. and other donors, such as the World Bank. The study will review how policy reforms are frequently assessed; identify different approaches, evaluating their advantages and disadvantages; and identify the most effective operational methods. The analysis will approach the subject from a political economy perspective, weigh the role and limitations of program performance indicators, and evaluate the use of general and partial macroeconomic models to explore counterfactual cases.

The study will be undertaken in 1992, and results will be disseminated in the first quarter of FY 1993.

### 3. Managing the Policy Reform Process

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#### **Objective**

To evaluate the relative effectiveness and efficiency of A.I.D.'s various modes of assistance for policy reform and to delineate the management implications of each assistance mode.

#### **Rationale**

During the 1980s, A.I.D. implemented policy reform programs using a variety of funding sources and programming procedures. At the same time, A.I.D. had to decrease personnel and operating budgets for management and oversight of development assistance programs. Each funding source (ESF, DA, PL 480) has different oversight, implementation, and workload implications.

Each programming method (e.g., cash transfer, CIP, sector assistance, local currency program, policy dialogue, bilateral project) also has its own rules and requires different skill mixes.

USAID Mission management must balance the desirability of maximizing policy reform performance in the short term with the need to increase host country "ownership"—and sustainability—of the reforms. U.S. Government requirements for accounting and auditing of some assistance modes may tend to divert attention and resources from improving policy performance, as well as dampen host country feelings of "ownership" of the policy reform measures. This assessment will help A.I.D. evaluate the circumstances in which each assistance mode is most effective in effecting policy reform and, thereby, improve allocation of scarce personnel and budget resources for managing policy reforms.

#### **Description**

The study will first identify management requirements of the various funding sources and program methods that A.I.D. uses to provide sectoral and subsectoral policy reform assistance. It will analyze effectiveness and efficiency of policy reform performance in reaching program objectives, according to funding sources and program methods, including such factors as quality of program design, initial host country commitment to the reforms, and host country capacity to implement both reforms and procedures. A sample will be selected for in-depth documentation review, structured questionnaires, and interviews to determine how well the Mission met program management demands, including policy performance, accountability, and "ownership" of reforms. The study will identify how well effective and efficient management of policy reform assistance translates into sustainable reforms and indicate whether workload requirements of funding sources and program methods affect achievement of program objectives.

The evaluation will consist of a desk study with local interviews and limited fieldwork. It will begin in the third quarter of FY 1992 and end in the third quarter of FY 1993.

## 4. Financial Sector Reform

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### **Objective**

To determine the soundness and effectiveness of A.I.D. approaches to economic policy reform for financial sector development.

### **Rationale**

The last 20 years witnessed a revolution in thinking regarding the role of the financial sector in development. It is now widely accepted that the financial sector can play a key developmental role through the mobilization and allocation of savings to finance productive activities. The perception of the relative roles of the market and the public sector has changed substantially. It has become widely accepted that the proper role for government is to provide a system of prudent regulation and supervision and ensure stability through monetary policy, while leaving it to the market to allocate credit and determine interest rate levels and structure.

However, many developing countries seeking to privatize their financial sectors lack adequate institutions for monetary policy and have insolvent financial systems. Remedying such problems in the context of overall market liberalization needs to take into account the interaction between financial sector policy reform and other policy areas: trade, exchange rate, prices, and fiscal policies, for example. Likewise, the interaction between liberalization of financial markets and the role of key subsectors—banking, for example—is of critical importance. USAID Missions are frequently called to help in all such respects. This evaluation will thus be of interest to A.I.D. senior management and USAID Missions. It will provide operational guidance for policy and related institutional reforms for financial sector development and the timing and sequencing we should advocate in the context of broad economic adjustment.

### **Description**

The assessment will review the economic development literature to determine the state-of-the-art lessons on financial sector development, assess A.I.D.'s role in financial sector reform in selected

countries, evaluate the experience of reforming countries, and infer guidance for Agency actions. The assessment will consist of a 4-month desk study, to begin in early FY 1993, followed by field data collection for several country case studies. Results will be disseminated by the middle of FY 1994.

## 5. Policy Reform at the Aggregate, Sector, and Project Levels

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### **Objective**

To evaluate the relative effectiveness and consistency of A.I.D.'s interventions to promote economic policy reform in economywide sector and project contexts.

### **Rationale**

During the last decade, it became clear to A.I.D. managers that one of the most effective uses of Agency resources is assistance in the reform of host country economic and institutional policy frameworks. USAID Missions throughout the world have promoted policy changes that:

- encompass the whole economy and cut across economic sectors (e.g., reforms in the trade or exchange rate regime);
- pursue broad sector-specific changes (e.g., change in the overall price and distribution regime relating to the agricultural sector); and
- seek relative narrow policy changes having a bearing on specific A.I.D. supported projects (e.g., change in the fee system for health services).

What is not well-understood, however, is the relative effectiveness of efforts at these different levels and the degree of consistency with which they are applied in a given country setting. This study will evaluate such effectiveness and consistency; it will also provide guidance on the appropriateness of efforts at each level.

## **Description**

The study will first analyze how A.I.D. has promoted economic policy reform at aggregate, sector, and project-related levels. To accomplish this, the evaluators will review available literature and interview key informants on A.I.D.'s experience.

The evaluators will then select a set of countries from different regions and will evaluate the

actual policy impact of interventions at macro (aggregate), sector, and project levels. They will also assess the extent to which the various interventions reinforce or contradict one another. Impact will be analyzed in light of Mission development objectives and A.I.D.'s developmental goals and policies.

This evaluation will be carried out during FY 1994.

# B. Private Sector Development

## 1. Export and Investment Promotion Services

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### Objective

To assess the extent to which promotion services, such as provision of information, have stimulated exports and investment in developing countries beyond what could be expected from a sound policy environment.

### Rationale

Recent economic literature has demonstrated that outward-oriented economies with strong trade, investment, and export systems have achieved better development results than inward-oriented economies. An important question facing donors and governments is whether the provision of services to exporters and investors has contributed to the growth of exports from LDCs. A.I.D. has devoted substantial resources to supporting outward-oriented economic growth. While most observers consider policy reform critical in stimulating export-led growth, there is less consensus about the contribution of promotional services to accelerating export growth.

### Description

An assessment of the impact and effectiveness of promotional programs in four Latin American countries has been completed and four Asian case studies are in the final stages. These assessments evaluate whether intermediaries providing support services to exporters are worth supporting. Key factors examined are:

- **Firm-level Impact:** Do these intermediaries have an impact on the firms they assist, for example, in exports, investment, and jobs?
- **Market-level Impact:** Do these intermediaries promote market efficiency and correct market failures?

- **Economic Return:** Is support to these intermediaries economically attractive and cost-effective?
- **Service Mix:** What service strategies have the greatest impact?
- **Institutional Mechanisms:** What types of intermediaries offer the best vehicle for delivering these services?

The assessment of the Asia region and a synthesis of the experience worldwide will be completed by the summer of FY 1992. CDIE will incorporate in the assessment and synthesis findings of existing evaluation studies of similar programs in the Near East, as the conclusions of these studies are largely consistent with findings to date from the assessments in the Latin America and Asia regions.

## 2. Export Promotion, Growth, and Poverty

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### Objective

To examine the impact of export-led growth on the welfare of poor people in outward-oriented developing countries.

### Rationale

Since the early 1980s, A.I.D. has given priority to trade as an engine of growth in developing countries, and the Agency considers export-led growth to be important in achieving sustained economic growth that will improve the living conditions of the poor. Economic theory finds that export growth is a particularly effective vehicle for increasing incomes of abundant factors of production, such as unskilled labor, which often represent the poor in developing countries. Public and Congressional concern about the distributional consequences of A.I.D. support for export-led growth policies and programs makes a study focusing on

the linkages among export promotion, growth, and poverty important in directing future programming.

## **Description**

Two CDIE studies have established the linkage between A.I.D. export-service assistance and export growth. What has not been shown is the linkage between export growth and the welfare of people in developing countries, particularly the poor. This study will draw on the experiences of export expansions based on domestic resources and export processing zones (EPZs) in developing countries.

In tracking the impact on the poor, the study will bring together secondary data on:

- impacts of export growth on incomes in the bottom half of the income distribution;
- the impact of export growth on acquisition of human capital by low-skill workers in export industries; and
- indicators of noneconomic well-being (e.g., education, nutrition), to the extent possible.

The assessment will involve a literature review on trade, economic growth, and poverty and an empirical analysis of secondary data on export and growth trends and the indicators referred to above. The literature review and the data analysis will be initiated in late FY 1992 and completed by mid FY 1993.

## **3. Privatization and the Public Interest**

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### **Objective**

To assess the performance of the privatization programs of A.I.D. and other donors in developing countries and provide guidance for effective assistance.

## **Rationale**

In the 1980s, the legacy of state-owned enterprises operating at substantial deficits and the fiscal crisis of the state provided a strong impetus for governments to shift management of key functions and enterprises from the public to the private sector. Governments in developing countries and Eastern Europe have increasingly adopted privatization as a vehicle to promote economic efficiency, improve public fiscal solvency, and expand consumer access to goods and services. A.I.D. and the World Bank have taken the lead in supporting developing countries' efforts at privatization. In 1985, A.I.D. established a Center for Privatization, specifically to provide technical and financial assistance to host governments undertaking privatization, and the Agency is continuing active support for privatization efforts worldwide. This experience to date should be assessed to guide future programming.

## **Description**

The assessment will begin as a desk study, reviewing the literature on privatization and program documents on government and donor privatization efforts in developing countries, Eastern Europe, and selected developed countries. The review will include privatization of both services (e.g., agricultural marketing) and enterprises. It will examine:

- achievement of key objectives of privatization, such as increasing economic efficiency, improving public fiscal solvency, and delivering goods and services effectively to the public;
- the various mechanisms for privatization;
- management of the privatization process by governments, A.I.D., and other donors; and
- the context for effective management of privatized enterprises or services. Relevant factors include opposition groups (trade unions, consumers), the depth of financial markets, and legal considerations.

The 5-month desk study will be initiated in early FY 1993. A full *field assessment*, if required, will be conducted in FY 1993, with results disseminated early in FY 1994.

## **4. Export Processing Zones**

### **Objective**

To bring together the lessons from A.I.D. and other donor experience in supporting export processing zone programs.

### **Rationale**

A.I.D. and other donors have looked increasingly to support for the development of EPZs as one important instrument for promoting export growth in developing countries. This assistance has included direct financing to support establishment of EPZs; technical assistance related to legislation, regulations, or policy supporting EPZs; and promotional programs aimed at stimulating foreign investment in EPZs. Support for EPZs has been controversial in several respects. Some have concerns about EPZs delaying more fundamental policy reforms by creating jobs that remove pressure for broader economic liberalization. Others argue that the types of jobs created are narrow in scope; that spread effects are limited; and that scarce host government resources are often wasted, as in countries where EPZs have attracted little investment. At the same time, some in the United States have complained about possible costs in U.S. jobs from EPZ-type investment in

developing countries. Given A.I.D.'s past and ongoing support to EPZs, it is important to examine the issues and provide programmatic implications to senior management.

### **Description**

The assessment will be carried out initially as a desk study drawing on an earlier CDIE study on this issue, analyzing the current literature, and reviewing the results of donor interventions, particularly those of A.I.D. The research seeks to review the experience with EPZs from different perspectives to guide future programming.

The study will focus on four areas of inquiry:

- the impact of EPZs on development (e.g., employment, women workers, skills development, spread effects);
- identification of the determinants of success and failure of EPZ projects;
- the effectiveness of donor interventions in EPZs; and
- the impact of A.I.D.-assisted EPZs on the U.S. economy.

The 4-month desk study will be initiated at the beginning of FY 1994 and will identify focus areas where fieldwork may be required. Fieldwork, if necessary, will be conducted in mid FY 1994.

# C. Agriculture, Natural Resources, & the Environment

## 1. Environment and Natural Resources

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### Objective

- To measure the extent to which A.I.D.-supported activities aimed at improving environmental quality and natural resources management have been effective in helping developing countries manage their environment and natural resources in ways that conserve biological and physical resources for long-term, sustainable economic growth; and
- To evaluate the effectiveness of various development assistance mechanisms used by A.I.D. to address environmental and natural resources management issues in developing countries.

### Rationale

During the 1980s, A.I.D. significantly increased its funding of projects to help developing countries address natural resources and environmental management issues. The Agency's central objective has been to encourage developing countries to manage their environment and natural resources in ways that promote and sustain long-term economic growth, and at the same time, conserve or enhance critical biological resources and ecological functions. A.I.D.'s new environmental strategy, approved by the Administrator in December 1991, provides a framework for action. This assessment will gauge the impact of programs to date and identify the most effective approaches for implementing the environmental strategy.

### Description

Projects and programs to be examined during the assessment are grouped into major theme areas

that track closely with those of A.I.D.'s new environmental strategy. "Green" issues are associated with loss of wildlife habitats and biological resources as well as environmental degradation caused by deforestation and ecologically harmful agricultural and rural development. "Blue" issues include wastage and degradation of riverine, coastal, and marine resources. "Brown" issues concern energy demands and environmental pollution arising from industrial and urban development and from energy generation and use. This evaluation will address A.I.D. activities aimed at improving environmental quality and natural resources management in all three of these categories.

The assessment will identify, *inter alia*, the conditions most conducive to A.I.D. having an impact on environmental and natural resources management in recipient countries, including the country's stage of economic growth, the extent of market and price distortions, the level of government intervention, and the composition of its natural resource base.

A 3-month desk study, beginning in January 1992, will identify specific issues to be examined and provide the methodology for the field assessments. In addition, the desk study will:

- inventory completed project evaluations to determine where A.I.D. has and has not been effective in helping developing countries improve their environmental quality and natural resources management;
- compare the performance of A.I.D.-assisted countries with other developing countries; and
- identify selected projects in A.I.D.-assisted countries for field visits to validate desk study findings and refine lessons learned.

Concurrently with the literature review, CDIE is incorporating environmental impact indicators into its performance monitoring and reporting system, PRISM. These indicators will be used during the field study portion of the environmental as-

assessment to measure the Agency's effectiveness to date in addressing environmental concerns.

The three field-based assessments will be undertaken during FY 1992 and FY 1993, generating assessment reports according to the following schedule:

- "Green" Environmental Issues - April 1993
- "Blue" Environmental Issues - November 1993
- "Brown" Environmental Issues - January 1994.

The findings of all three assessments regarding policy and institutional issues will be integrated into a final synthesis report for release by April 1994. A video presentation and workshops are also planned as mechanisms to examine and disseminate assessment results.

## 2. Agribusiness

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### Objective

To assess the underlying intervention strategies, performance, cost effectiveness, and impacts of selected "agribusiness" projects supported by A.I.D.

### Rationale

A consensus has developed within A.I.D. that the private sector is typically more efficient than the public sector in undertaking many agricultural activities. Projects designed to assist the private sector in developing countries perform these functions—production, processing, and marketing of agricultural inputs and outputs—are generally characterized as agribusiness projects, and A.I.D. funding for them grew substantially during the 1980s.

The Agency's experience in this area is now substantial enough to warrant a broad assessment of efforts to date. Findings of the evaluation will be helpful for improving the performance, sustainability, and impact of ongoing agribusiness programs around the world and for designing effective initiatives in Eastern Europe and the Newly Independent States.

## Description

Issues to be examined might include:

- whether the intervention strategies followed by agribusiness projects are theoretically sound and empirically grounded;
- the overall performance of such projects, and the extent to which they have accomplished their stated objectives;
- the types of agribusiness projects that have proved to be most effective in alleviating critical bottlenecks and increasing productivity;
- the factors and conditions that affect the sustainability of agribusiness projects;
- the appropriate role of the private sector vis-à-vis the public sector in supporting agricultural research and extension;
- whether A.I.D. has a comparative advantage in supporting agribusiness projects and, if so, which modes of assistance are most effective.

Beginning at the end of FY 1992, the evaluation will commence with a desk study based on an in-depth review of project and program documents, past and current evaluations, and academic literature. Experts within and outside of A.I.D. will be interviewed. The second phase will involve *field assessments* in five or six countries. The results of the evaluation will be disseminated in the first quarter of FY 1994.

## 3. Food Aid for Development

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### Objective

To assess the development impact of the PL 480 Title III and Title II, Section 206 programs.

### Rationale

Since its inception in 1954, PL 480 legislation has had various objectives, including market development, U.S. foreign policy advancement, humanitarian assistance, and economic development. In 1977 Congress enacted the PL 480 Title III Food for Development Program, which focused on one objective in particular: economic development. In addition, development-oriented food aid

programs authorized under PL 480 Title II, Section 206 increased during this period, especially in chronic food-deficit countries in sub-Saharan Africa. Although the 1990 Farm Bill modified Title III and abolished Title II, Section 206, the overall objectives of these programs were retained: to use food aid to stimulate economic development and enhance food security in the low-income developing countries. It is important to understand whether, and under what conditions, food aid programs designed specifically to achieve development objectives have, in fact, been successful.

## **Description**

In the early 1980s, CDIE completed an assessment of the PL 480 Title I program. This assessment of the PL 480 Title III and Title II, Section 206 programs will examine several of the same substantive issues as the Title I assessment. In addition, however, it will compare and contrast the development impact of Title I food aid vis-à-vis food aid designed explicitly to have a development impact. The A.I.D. assessment will complement a GAO evaluation of the modified Title III program. The A.I.D. assessment will also compare and contrast management of food aid under the old legislation with management under the new legislation; it is too soon to assess the developmental impact of food aid under the new legislation.

Various indicators of developmental impact will be assessed including:

- the impact of the food aid (which is a form of program assistance) on economic policy reform;
- how the local currency generated from the sale of the food aid was programmed to achieve development objectives;
- the nutritional impact of the food;
- the pros and cons, from a developmental point of view, of multiyear food aid agreements and loan forgiveness; and
- the impact of food aid on domestic food production.

This assessment will involve a desk study as well as a series of field assessments. The countries selected for field assessments will include those that had a Title III or Title II, Section 206 program. The desk study will be conducted early in FY 1993, and the field assessments will take place in FY 1993 and FY 1994.

## **4. Environmental Reviews**

### **Objective**

To examine the effectiveness and impact of A.I.D.'s procedures for carrying out ex-ante environmental reviews (including initial environmental examinations, environmental assessments, and environmental impact statements) and procedures for project monitoring and evaluation of environmental concerns.

### **Rationale**

In June 1988 CDIE completed a preliminary review of A.I.D.'s experience with implementing environmental review procedures. That study concluded that A.I.D.'s procedures were generally effective in screening projects that did not qualify for a "categorical exclusion," and which, therefore, required some degree of environmental review. However, it also concluded that some projects, even though they qualified for a categorical exclusion, had unintended adverse environmental effects.

The rationale for undertaking a more in-depth desk study of A.I.D.'s environmental review procedures is to (1) provide an empirical underpinning to the conclusions reached in the 1988 preliminary study, and (2) address key issues not addressed in the 1988 study. These issues concern the effectiveness of A.I.D.'s environmental review procedures as they are applied:

- to multilateral development bank (MDB) projects,
- to projects funded with host country-owned local currency generated from A.I.D.'s bilateral assistance program, and
- to fostering the design or redesign of A.I.D. projects with sound environmental approaches.

### **Description**

This evaluation will be a desk study examining a relatively large number of A.I.D. projects that are representative of A.I.D.'s overall project portfolio. In addition to addressing the three issues listed above, the study will determine if any particular sector or type of project is more or less likely to have negative environmental effects. Results will be disseminated at the end of FY 1993.

# D. Human Services

## 1. Child Survival

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### **Objective**

To evaluate the performance of A.I.D.'s child survival programs.

### **Rationale**

The health and survival of children is a universal concern, and prospects for long-term development and an acceptable quality of life will remain dim in developing countries until health conditions improve. For many years, A.I.D. has included child survival programs as a major program emphasis. Some of the initial objectives of the worldwide program have been achieved and even exceeded. The performance of these programs in reducing infant and child mortality and morbidity and in enhancing countries' national health care systems needs to be examined so that the Agency can make decisions concerning future programming in this area.

### **Description**

Building on child survival field studies already completed in Egypt, Indonesia, Haiti, Morocco, and Bolivia, this assessment will perform final fieldwork in Malawi during May 1992. The assessment will:

- document the impact of A.I.D. child survival interventions in improving child health;
- review the relevance of specific intervention approaches, for example, immunizations, diarrheal disease control, food aid, and child feeding programs;
- identify contributions and lessons learned in strengthening host country capacities to support and sustain child survival programs; and
- identify an agenda of issues that A.I.D. and host countries need to address in improving future programming of child survival efforts. Special emphasis will be placed on evaluating the sus-

tainability and institutionalization of A.I.D.-supported child survival services.

The fieldwork is planned for completion in June 1992. A final assessment paper and presentation of results will be completed in September 1992.

## 2. Population

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### **Objective**

To evaluate the effectiveness, sustainability, and demographic impact of A.I.D.-supported population and family planning services.

### **Rationale**

A.I.D. has long been a leader in the field of population programs, having begun work in this area over 25 years ago. Nevertheless, A.I.D.'s population assistance has not been broadly and systematically evaluated. Two recent GAO reports have urged A.I.D. to evaluate the effectiveness and impact of the population program. Furthermore, because of the Agency's large investment in the population sector, its high profile worldwide as a leader in this area, and the controversial and sensitive nature of the sector, A.I.D. senior management needs to be fully informed about the impact of different elements of the population program to defend and explain the program, make well-advised management determinations, and plan future efforts.

### **Description**

This assessment was begun during FY 1990. Country *field studies* have been completed in Kenya and the Philippines. During 1992, three additional field studies and a desk study will be completed. The field studies will systematically review A.I.D.'s experience in population and family planning and seek general conclusions regarding approaches to reducing rapid population growth that appear to work best in particular envi-

ronments. Specifically, the field studies will evaluate program effectiveness, efficiency, sustainability, and impact.

It is planned that all data collection and analysis will be completed by September 1992 and that final, formal written and oral presentations of results and recommendations will be completed by December 1992.

### **3. Impact of Participant Training on Developing Country Institutions**

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#### **Objective**

To evaluate the impact of A.I.D.-supported participant training on the performance of institutions in developing countries.

#### **Rationale**

Participant training has historically been a major part of A.I.D.'s development assistance; more than 300,000 individuals from all over the world have been trained over the past 4 decades. A primary objective of participant training has been to develop and strengthen capacities and capabilities of institutions that have been identified by USAID Missions as key to sustainable development of host countries. To date, however, most evaluations of A.I.D. training programs have focused on verifying project outputs and analyzing operational issues, rather than on assessing the impact of the training programs in achieving such programmatic objectives as strengthening institutions. An empirically grounded evaluation of impact could help shape future training activities as A.I.D. increases assistance in new programmatic (e.g., democracy) and geographic (e.g., Eastern Europe) areas.

#### **Description**

This evaluation will begin at the end of FY 1992 with an intensive review of past evaluations of A.I.D. participant training programs, an examination of relevant training literature, and interviews of key decision-makers, managers, and

implementors of training programs. The review and interviews will identify critical issues and appropriate methodologies for case studies.

A second phase, beginning early FY 1993, will involve five or six case studies of A.I.D. recipient countries, selected on the basis of such criteria as stage of development, nature and volume of A.I.D. assistance, and technical and manpower resources. In each of these countries, two to three targeted institutions will be identified for study to determine the impact of A.I.D.-financed training on their effectiveness. The evaluators will also assess the relative strengths and weaknesses of different types of training in achieving institutional development objectives. Results will be disseminated at the end of FY 1993.

### **4. Basic Education**

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#### **Objective**

To determine the extent to which A.I.D.'s Basic Education Strategy is effectively strengthening basic education services, accomplishing education policy reform objectives, and achieving long-term multisectoral impact in cooperating countries.

#### **Rationale**

Basic education is the subject of special high-level political interest. In recent years, Congress has criticized A.I.D. for neglecting basic education and has earmarked funding for basic education activities. Also, the international "Education for All" movement has sparked new policy-level interest in basic education in the donor community and in developing countries.

Following an internal review some years ago, the Agency adopted a Basic Education Strategy that emphasized programming to improve the internal efficiency of primary school systems. The objective of this assessment will be to determine the extent to which the Agency's Strategy and projects have effectively responded to national and international interest in basic education. The assessment will also measure "performance"—the effectiveness, impact, sustainability, and efficiency of A.I.D.-supported basic education activi-

ties—to determine whether the Agency's Basic Education Strategy needs modification in any way.

## **Description**

The assessment will compile existing evaluation information from A.I.D. basic education projects in as many countries as possible. Evidence regarding direct impact on educational quality (improved mastery of basic skills, improved retention and graduation rates, etc.) as well as long-term impacts on other sectors (decreased fertility, improved health status, etc.) will be sought. Evidence of A.I.D. impact on education policy in cooperating countries will also be compiled. This evidence will be synthesized in a working paper, to be completed at the end of FY 1993. Based on the conclusions of the initial working paper, *a field assessment* will be undertaken in approximately six countries to gain further qualitative and statistical insights into the performance of the A.I.D. basic education program and to suggest ways in which impact might be enhanced. Fieldwork and the final assessment documentation will be completed in the second half of FY 1994.

## **5. Health Care Financing**

### **Objective**

To evaluate the Agency's experience in reform of health financing policies and practices, primarily in terms of longer term impact.

### **Rationale**

Despite the reductions in morbidity and mortality achieved over the past three decades by developing country health systems, further gains are constrained by public sector budgetary shortfalls and an insufficiency of appropriate, cost-effective alternative services. Four major problems have been identified:

- insufficient spending on cost-effective public programs;
- wasteful public programs of poor quality;
- inequitable distribution of health services; and
- constraints to the private sector provision of health services.

During the 1980s, A.I.D. increased emphasis on sustainability and the introduction of new approaches to financing health care. The Agency issued new guidelines on health financing to help AID/W and Mission staffs evaluate specific financing approaches and activities and to encourage developing countries to change their policies and create more equitable, responsive, and sustainable health services. The new guidelines required that economic and financial analysis be "rigorously applied" in new project design, that private sector approaches to providing health care be utilized where appropriate, and that user fees and other cost-recovery mechanisms be explored. What is now needed is an appraisal of the factors that promote or impede changes in policies and practices and evidence that health financing improvements result in improved accessibility to and quality of health care.

### **Description**

This assessment will examine the extent to which (1) public funds have been provided for preventive and promotive health services that benefit the public as a whole, (2) financing of personal curative services has been shifted to those willing and able to pay, and (3) private providers have been motivated to finance preventive and promotive as well as curative services.

The assessment will be initiated in FY 1994 with a review of the literature—including evaluations of Agency health financing projects—around the four themes of resource mobilization and allocation, cost containment, the role of the private sector, and the organization and financing of health services. *A field assessment* will begin in late FY 1994, and a final assessment report will be disseminated in the second half of FY 1995.

# E. Other Programs

## 1. Capital Projects

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### **Objective**

To examine A.I.D.'s experience with capital projects in order to judge their effectiveness in promoting development and in promoting U.S. trade interests.

### **Rationale**

There is growing interest in parts of Congress and the Executive Branch in using U.S. foreign assistance to a greater extent as a means for advancing U.S. commercial interests while at the same time maintaining the international development objectives of the program. There have been Congressional and other proposals to establish a capital projects fund, a mixed credit program, and other trade-related programs. Development economists stress that, for many developing countries, capital infrastructure is an investment with a high economic payoff, which is often a prerequisite for any development program. While many see a high degree of concurrence between LDC development and U.S. commercial interests, others are cautious, citing the potential for conflicts.

As A.I.D. considers the establishment of a capital projects fund, many ideas have been put forth as a rationale or justification for capital projects. Since A.I.D. and its predecessor organizations have been undertaking capital projects for over 40 years, the Agency is not starting from scratch. It would be useful to examine A.I.D.'s previous experience with capital projects before launching a new effort. The findings of this study will help A.I.D. determine the conditions under which capital projects are most appropriate and how to effectively design such programs.

### **Description**

The analysis will examine the issues that have been put forth concerning benefits (to justify a major increase in capital projects) to see if those

arguments are in fact reflected in actual A.I.D. experience. The analysis will also examine arguments against using capital projects as a tool to promote U.S. commercial interests. Based on the analysis, judgments will be made about appropriateness and benefits of capital projects as a development tool for A.I.D.

The assessment started with a desk study and data analysis in late FY 1991. Fieldwork is planned for late FY 1992 and early FY 1993. The analysis will generate three or four country studies and a final synthesis report, which will be completed by mid FY 1993.

## 2. Legal Systems Development

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### **Objective**

To assess the impact of A.I.D. programs designed to improve the effectiveness of judiciary systems and access to legal systems and to recommend directions for future programming.

### **Rationale**

Over the past decade, A.I.D. devoted increasing resources to programs intended to enhance the role of the judiciary in developing countries. The Administration of Justice program, for example, has become the cornerstone of the Agency's democracy initiative in Latin America, where it seeks to improve the administrative, technical, and legal performance of national justice systems and strengthen independence of judiciaries. In Asia and South Africa, legal resource programs work with communities and client groups to address issues of distributive justice, social change, policy advocacy, resource allocation, and the enforcement or expansion of rights. This evaluation will provide important lessons in the design and implementation of such programs. The primary audience for the study are A.I.D. policy and program managers.

## **Description**

This evaluation will assess the effectiveness, efficiency, impact, and sustainability of programs that seek to enhance the role of the judiciary. It will examine both the supply side (administration of justice) and the demand side (legal resources programs), as well as the relationship between the two, and it will assess the importance of these programs to the broader processes of participation and democratization. The study will review past and future strategies, evaluate A.I.D.'s capacity to administer judicial and legal programs, and provide recommendations to improve program design and implementation.

The evaluation design and preparation of a desk study of experience to date will begin in the second quarter of FY 1992. Fieldwork on administration of justice programs will be conducted in late FY 1992 and early FY 1993, primarily in Latin America. A field assessment of legal resources programs, most likely in Asia, will take place during FY 1993. The results of the assessment will be available by the middle of FY 1993.

## **3. Civil Society**

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### **Objective**

To examine the impact on democracy of A.I.D. and other donor experience in promoting nongovernmental (NGOs) associations either directly or indirectly in the political arena.

### **Rationale**

"Civil society" is a fundamental underpinning of democracy, and occupies a central position in A.I.D.'s democracy initiative (Democracy and Governance Policy Paper, November 1991). Aside from free and fair elections, which occur only at periodic intervals, voluntary associations are the primary means by which citizens can articulate their interests and concerns both to the state and to the society at large. Such associations range from self-professed lobbying groups (such as sugar farmers' organizations or lawyer' societies) through ascriptively based interest groups (such as women's or minority organizations) and civil rights groups (for example, human rights sup-

porters) to local citizens' associations (such as mothers' clubs or irrigation user groups).

Through activities like its Women in Development efforts and assistance for human rights groups, A.I.D. has considerable experience in supporting civil associations directly involved in the political life of host countries. If the much larger ambit of NGOs in general (irrespective of their political involvement) is taken into account, the Agency has a much richer experience, with its support over several decades for credit societies, family planning groups, community health associations, and the like. Examining the intended and unintended impacts of assistance to these groups and other civic associations can contribute to improving the effectiveness of A.I.D.'s democratic initiative.

## **Description**

The analysis will examine conditions under which civic associations have contributed to building democracy. It will also focus on how A.I.D. support for such activities helped, either directly (as in assisting human rights groups whose principle rationale is to operate as advocacy agencies in the political arena) or indirectly (as in assisting community health organizations that only gradually—and quite likely independently of A.I.D. support—took on a civic advocacy role). The study will begin in early FY 1993, with preparation of a desk study reviewing the literature and A.I.D. and other donor experience in promoting civil society programs. Limited fieldwork will be conducted in mid FY 1993, and a synthesis paper containing lessons learned and program guidance will be completed in the second half of that year.

## **4. Decentralization**

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### **Objective**

To examine the impact of A.I.D. and other donor experience in promoting decentralization to advance democratization.

### **Rationale**

Over the past 3 decades, A.I.D. investments in decentralization activities covering rural, urban,

and regional development, as well as various sectoral projects, have represented a substantial program investment. Among the various forms of decentralization pursued, administrative deconcentration is the dominant form to which project assistance has been committed. Yet, frequent reference is made at the level of either project goal or purpose to the beneficial effects of increased popular participation. Little effort has been expended to identify the links between specified project outputs and achievement of these desirable democratic ends. Nor are evaluations commonly tasked with the responsibility for determining the success of these efforts in fostering increased popular participation and the heightened transpar-

ency with which it is postulated will improve accountability and citizen satisfaction.

This assessment will address this gap by focusing attention on the link between decentralization and democratization. The primary audience for the study will be A.I.D. policy and program managers.

### ***Description***

Preliminary desk studies for this evaluation will begin at the end of FY 1993, followed by a number of country case studies in FY 1994. A final report of the assessment findings and recommendations will be completed in late FY 1994.

## Section II

# OPERATIONS AND MANAGEMENT SYSTEMS EVALUATIONS

**T**his section provides a brief discussion of the topics planned for the operations and management systems evaluations. These evaluations will analyze the effectiveness and efficiency of various Agencywide organizational and management systems, delivery systems, operational and regulatory procedures, etc., in order to recommend ways to improve our capacity to achieve development results.

# Operations and Management Evaluations

## 1. In-Country Presence

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### **Objective**

To measure the effectiveness and efficiency of alternative models of organizing and providing development assistance in relationship to host country and program characteristics.

### **Rationale**

The global order is shifting and the relationship between the donor and recipient nation is changing at the same time that budget constraints are confronting governments worldwide. Given changing realities, it is appropriate that A.I.D. reflect upon its model of field Mission presence to determine whether it is the optimal model to achieve the development goals of the future. A.I.D.'s country presence has been widely viewed by development professionals throughout the world as having a positive impact on A.I.D.'s local understanding and ability to accomplish development results. A.I.D. has historically supplemented its resident field presence with the use of short- and long-term contractors and A.I.D./Washington staff on short-term assignments. Yet, A.I.D. has never systematically assessed the impact of its field Mission model to determine the most effective use and efficient balance between direct hire foreign service and foreign service national (FSN) personnel, A.I.D. staff and contractors, and host country professionals.

### **Description**

This assessment, begun late in FY 1991, is evaluating the costs and benefits (financial, developmental, political, etc.) of alternative ways of organizing and providing development assistance through large resident missions, small resident missions, country representatives, field-based regional support offices, A.I.D./Washington-based re-

gional programs, etc. The assessment is simultaneously examining functions that could be centralized and achieve economies of scale without losing the advantages of field presence.

The assessment has completed fieldwork at ten A.I.D. field posts, comparing development assistance provided through different modes, using a variety of program and project efficiency, effectiveness, and performance measures. Findings, conclusions, and recommendations will be provided to the A.I.D. Administrator and senior management in July 1992.

## 2. Performance-Based Budgeting

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### **Objective**

To examine A.I.D.'s experience in developing a performance-based budgeting (PBB) system and to recommend future directions.

### **Rationale**

Historically, the budgeting process has been linked more with political expediencies and with the success of individual Missions in obligating and spending the monies allotted them, rather than with the performance of the recipient country or the A.I.D. Mission in achieving the intended development results. Functional accounts and Congressional earmarking of funds for particular countries and programs have exacerbated the political dynamics of the budgeting process. In recent years, the Africa Bureau was able to extricate itself from a largely political budgeting process with the establishment of the Development Fund for Africa (DFA). Unencumbered by functional accounts, the Africa Bureau has been laying the groundwork for a PBB system based on criteria of

country need, country commitment, and A.I.D. portfolio performance. The Latin America Bureau and the Asia Bureau have also begun to develop PBB systems.

The audience of the assessment will be A.I.D./W and Mission management as well as OMB, which has mandated that A.I.D. establish a PBB system and recently requested in a Hearing that A.I.D. assess and report on its progress to date. GAO also has an increasing interest in developing program performance indicators in Federal Agencies. The findings of this study should contribute to the identification of the types of indicators that will comprise an Agencywide program performance database and reporting system.

### **Description**

This management assessment will:

- examine A.I.D.'s experience in developing PBB systems;
- determine which indicators of performance hold most promise as a foundation for the budget allocation process;
- research what proportion of A.I.D. funds can be budgeted according to performance and assess such constraints as functional accounts, existing pipelines and earmarking;
- assess how the PBB system can be linked with the program performance measurement efforts currently being undertaken in numerous Missions;
- evaluate the progress to date in linking performance to budgeting decisions; and
- make recommendations for future directions.

In pursuing this assessment, CDIE will work closely with the Policy Analysis and Resources Office of the Policy Directorate in reviewing the various bureau approaches in order to identify desirable elements for an Agencywide PBB system. The assessment began in December 1991 by documenting the different bureaus' approaches. Key individuals in the bureaus, both in A.I.D./Washington and the field, are being interviewed to separate out the pros and cons of various approaches. Results will be available by the fourth quarter of FY 1992.

## **3. Achieving Development Objectives Through Nongovernmental Organizations**

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### **Objective**

To examine the experience to date of achieving A.I.D.'s development objectives through nongovernmental means and to determine to what extent and in what circumstances NGOs can best implement A.I.D.'s program.

### **Rationale**

During the year-long review of development assistance by the Hamilton-Gilman Task Force, a number of groups concerned with development recommended an increased reliance on nongovernmental organizations to implement development assistance. Their reasons for increased use of NGOs include:

- the inability of LDC governments to finance all development;
- the need for a viable alternative to working with governments that are corrupt or otherwise unacceptable; and
- the theory that sustainable development is most effectively implemented by the people it is designed to benefit.

### **Description**

This assessment will review A.I.D.'s experience working with nongovernmental organizations. Among a half dozen country case studies will be the NGO strategies that USAID Missions have employed as alternatives to working with corrupt (e.g., Zaire, Haiti) or otherwise unacceptable (e.g., South Africa) governments. A.I.D. has also relied heavily on NGOs to deliver emergency assistance, including PL 480 Title III food aid. A desk study and subsequent field visits will attempt to answer the following questions:

- To what extent can NGOs be relied upon to achieve critical development goals?

- What types of projects can NGOs effectively implement, and what types of projects, if any, do they have difficulty dealing with?
- What should be the relationship of the recipient government to A.I.D. and the NGO to assure the effectiveness of an NGO project?
- How can U.S.-based and indigenous NGOs best ensure the sustainability of their development efforts?

If the answers to these questions indicate a strong continued or increased use of NGOs, then the assessment will go on to determine how A.I.D. can make better use of NGOs in development, for example, through changes in A.I.D. policies and procedures, the NGO registration process, or the redefinition of NGO projects.

This assessment will begin late in FY 1992, and results will be disseminated in the last quarter of FY 1993.

## 4. Organizational and Managerial Impediments to A.I.D.'s Private Sector Initiative

### *Objective*

To identify specific organizational and managerial constraints to effective implementation of A.I.D.'s private sector mandate and to make systematic recommendations to better facilitate this mandate.

### *Rationale*

A.I.D.'s organizational culture, procedures, rules, and regulations have traditionally been set up to facilitate government-to-government assistance and projects which depend upon public sector implementation modes. In recent years, due to increasing appreciation of the importance of the role of the private sector to development, A.I.D. has shifted toward the private sector, both to deliver traditional services and as an engine for economic development. A.I.D. professionals have found that working with the private sector can be

difficult, given A.I.D.'s institutional history, legal restrictions on A.I.D.'s ability to make equity investments in private firms, and other concerns, such as the potential for violation of competitive procedures and conflict of interest requirements. As a consequence, a great deal of time is spent trying to figure out how to interpret A.I.D.'s rules and regulations as applied to the private sector and to devise modes of implementation that satisfy A.I.D.'s constraints. The result is often less effective than it might be if A.I.D.'s system were designed with the private sector in mind.

### *Description*

The assessment will include a desk study, an Agencywide survey, and extensive interviewing of A.I.D. direct hire and contractor professionals, as well as representatives from the recipient countries. The study will require 8 months to be completed.

The desk study phase will review:

- A.I.D. Handbook procedures and existing FAA legislation and Federal Acquisition Regulations;
- A.I.D. "standard" approaches to project selection, design, and implementation;
- studies that have been completed on A.I.D.'s experience with the private sector; and
- a sampling of A.I.D. private sector projects, both those in which the private sector was used as a delivery system and projects providing assistance to stimulate growth of the private sector.

Key informant interviews and focus groups will be held among A.I.D. professionals most closely involved in the private sector program. Based on these initial interviews and group sessions, an Agencywide survey will be designed to obtain information regarding this topic from both A.I.D. field and Washington staff, as well as from contractors and host country representatives active in the private sector portfolio. Select country studies will be conducted to see the impact of rules, regulations, and procedures upon the private sector mandate.

The results of this assessment will be available during the middle of FY 1993.

## 5. A.I.D.'s Use of Technical Assistance

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### **Objective**

To evaluate how effective A.I.D.'s use of technical assistance has been in promoting institutional development.

### **Rationale**

Donors, including A.I.D., have invested considerable resources in building and strengthening indigenous institutions to promote development objectives in poor countries. Typically, the most significant cost element of these efforts is the provision of technical assistance, usually long term. The record of success of this technical assistance is mixed. Institution building and strengthening will continue to have a high priority in the 1990s, although the institutions to be addressed are changing from those of the past. Consequently, it is critical to examine the effectiveness of technical assistance to determine how A.I.D. can best use this development resource.

### **Description**

This assessment will determine the characteristics of those technical assistance efforts that have proven to be successful in transferring the skills, attitudes, and systems necessary for creating and sustaining effective institutions. Where these efforts have failed, common characteristics contributing to those failures will be identified. Among the issues to be addressed are:

- the alternative modalities to providing technical assistance;
- the circumstances under which technical assistance is an effective vehicle for building, strengthening, or sustaining institutions in the developing world;
- whether technical assistance is the most cost-effective way for donors to contribute to institutional development;
- how to improve procurement and management of technical assistance; and

- whether other vehicles, such as specialized training or practical experience in other countries, might not be better ways for A.I.D. to promote institutional development.

The assessment will begin with a review of the literature on the use of technical assistance in institution-building or institution-strengthening projects. There will be extensive interviewing of A.I.D. staff in A.I.D./Washington and the field, as well as interviews of selected technical assistance personnel and recipient country officials in the field. The study will require 10 months to complete, and results will become available by the middle of FY 1994. Significant findings of this assessment could be developed into field guidance.

## 6. Has A.I.D. Successfully Shifted Toward Results-Oriented Management?

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### **Objective**

To determine whether the reforms recommended by A.I.D.'s management task forces of 1991 and 1992 have successfully shifted the Agency to results-oriented management.

### **Rationale**

Preceding and during the Agency reorganization in 1991 and 1992, a number of task forces took a hard look at the way A.I.D. did business and recommended a number of far-reaching changes. Their recommendations, many of which were approved for implementation by the Administrator, involved changes in the personnel incentive system, the programming system, the documentation system, procedures and regulations, handbooks, contracting, organization, staffing, and so on. Almost all of these changes were justified by the overarching rationale to shift A.I.D. more toward a results-orientation and a focus on achieving clearly stated objectives rather than on process. It is important to evaluate whether these recommended changes were implemented and had the intended impact.

## **Description**

This evaluation will begin with the identification of all the relevant task forces and recommendations. The assessment will establish criteria for results-oriented management and the changes in operating procedures that would indicate significant movement in that direction. A methodology will be developed to measure whether, in fact,

these changes occurred. If the intended changes did not occur, the assessment will determine why not and make recommendations for further change.

The evaluation will take place during FY 1994, and final results will be disseminated early in FY 1995.

## Section III

# SHELF TOPICS

**C**DIE will undertake the evaluations presented in this section only if sufficient resources become available. At the time this agenda was prepared, CDIE made assumptions regarding the availability of

- Operating expenses funding for the travel of USDH employees;
- Program funds for contract technical services to help conduct the evaluations; and
- The availability of USDH staff (both in and outside CDIE) to conduct the evaluations.

If additional resources become available, it will be possible to conduct one or more of these evaluations. Conversely, if resources are cut below our planning levels, more evaluations will have to be moved "below the line" from the first two sections of this Agenda onto the shelf.

# Shelf Items

## 1. Legislative Development

### **Objective**

To examine the impact of A.I.D. programs in support of legislative development as part of the Agency's democracy initiative.

### **Rationale**

Support for host-country parliamentary or legislative development is becoming an important feature of many of A.I.D.'s country democracy strategies. In the mid 1980s, A.I.D. initiated support to strengthen legislative capacities in the Central American and Caribbean region. These efforts are now being expanded to other countries in the Latin America and Asia regions, with the primary objectives of enhancing the capacities of legislatures to draft legislation, to perform more effectively their oversight of the executive branch of government, to improve their technical competence in important policy issues, and to enhance their capacity to represent constituent interests.

This assessment will evaluate the experience of A.I.D. and other donors in making legislatures more accountable and responsive branches of government. The major audience for this study will be A.I.D. policy and program managers.

### **Description**

This assessment will evaluate the experience of A.I.D. and other donors in supporting legislative development. Included in the study will be an examination of election procedures, political party organization, and other structural conditions that impinge on the performance of the legislature and that may need to be included as part of a more systemic approach in project design and implementation.

The assessment will begin with the preparation of a desk study, followed by several country assessments and a final assessment report.

## 2. Labor Unions

### **Objective**

To examine the impact of A.I.D. investments in the promotion of labor unions as a means for supporting democratic development.

### **Rationale**

Over the past 30 years, the AFL-CIO, through its three subsidiary organizations focusing on Africa, Latin America, and Asia, has used A.I.D. grants to support free labor movements in the developing world. Their activities have included the provision of assistance in basic union organizing; support for and defense of fundamental human and civil rights; the right of collective bargaining; the drafting of labor legislation and child labor laws; and support for democratic electoral processes. This longstanding history of support for labor union development is long overdue for a systematic A.I.D. evaluation. With A.I.D.'s new democracy initiative, labor union development will occupy a more central role in regional and country programming, with increased emphasis on the role of unions in promoting participation in democratic processes.

### **Description**

This assessment will examine past experience in labor union development, identify the future agenda of issues to be addressed in this area, and draw lessons and guidelines for formulating labor development strategies as part of the democracy initiative. The primary audience for the study will be A.I.D. policy and program managers.

The study will begin with an analysis of the democracy strategies pursued by each of the AFL-CIO's regional institutes. Fieldwork will follow to assess the impact of the labor programs at the country level. A report of the findings will highlight major policy and strategy issues on the role of labor unions in developing democracies.

**Appendix**

**SCHEDULE OF EVALUATION  
STUDIES: FY 1992-1994**

# SCHEDULE OF EVALUATION STUDIES: FY 1992-1994

	92	93	94
<u>Economic Policy Reform and Public Sector Management</u>			
1. Social Safety Nets	XXXX		
2. Methodological Approaches to Policy Reform	XXX		
3. Managing the Policy Reform Process	XXLx		
4. Financial Sector Reform		xFFFFx	
5. Policy Reform at Macro, Sector & Project Levels			xFFx
<u>Private Sector Development</u>			
1. Export & Investment Promotion Services	Fxxx		
2. Export Promotion, Growth, and Poverty		xxx	
3. Privatization and the Public Interest		xxFFx	
4. Export Processing Zones			xxL
<u>Agriculture, Natural Resources, and the Environment</u>			
1. Environment and Natural Resources		xxFFFFFFFFx	
2. Agribusiness		xxFFF	
3. Food Aid for Development		xxFFx	
4. Environmental Reviews			xxxx
<u>Human Services</u>			
1. Child Survival	FFxx		
2. Population	FFFFx		
3. Impact of Participant Training on Institutions		xxFFx	
4. Basic Education		xxFFF	
5. Health Care Financing			xxFF
<u>Other Programs</u>			
1. Capital Projects	xxFFx		
2. Legal Systems Development	xFFFx		
3. Civil Society		xxLx	
4. Decentralization			xxFFx
<u>Operations and Management Assessments</u>			
1. In-Country Presence	Fxx		
2. Performance-based Budgeting	xxxx		
3. Development through NGOs		xLx	
4. Impediments to Working in the Private Sector		xxx	
5. A.I.D.'s Use of Technical Assistance		xxFF	
6. Shifting to Results-Oriented Management			xxx
<u>Shelf</u>			
1. Legislature Development			
2. Labor Unions			

**KEY:** x=work in U.S.; F=field team work; L=limited field work