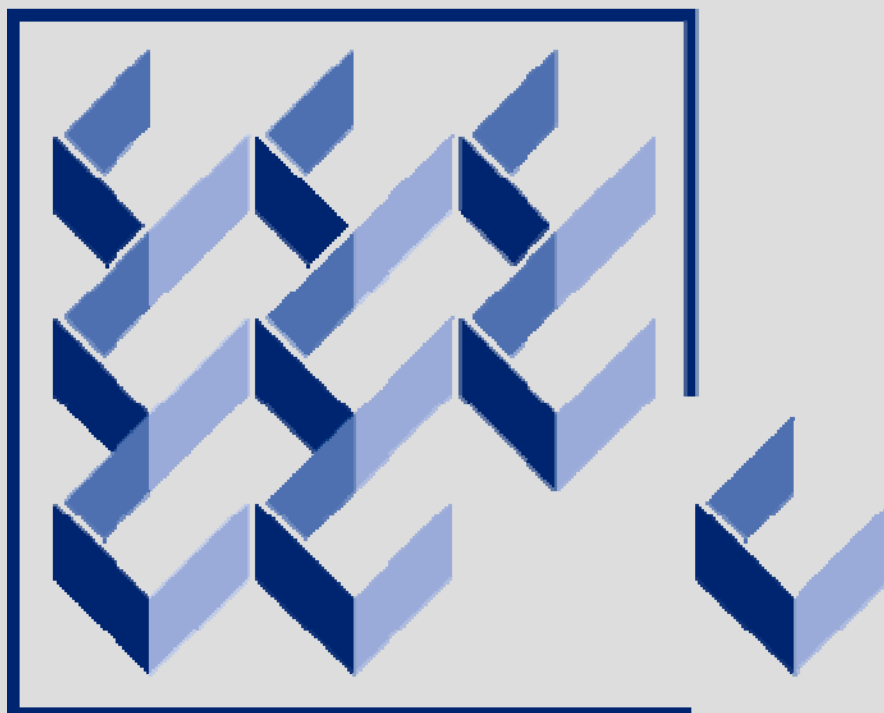




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Evaluation of the USAID/Georgia FORECAST Program



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December 2010

This report was produced for internal review by the United States Agency for International Development (USAID). The evaluation was conducted by Mr. Jeffrey Shahan and Mr. Stephen Kowal of USAID/Washington, Bureau for Economic Growth, Agriculture, and Trade, Office of Education (EGAT/ED), Mr. Ivica Vasev of USAID/Macedonia, Office of Program Development, Mr. George Simongulashvili of the GeoEduConsulting Foundation, with assistance from Mr. David Dzebisashvili of USAID/Georgia, Office of Program Development.

LIST OF ABBREVIATIONS

COP	Chief of Party
COTR	Contracting Officer's Technical Representative
CPT	Certified Performance Technologist
DRC	Danish Refugee Council
EGAT/ED	Bureau for Economic Growth, Agriculture, and Trade, Office of Education
FORECAST	Focus On Results: Enhancing Capacity Across Sectors In Transition
HICD	Human and Institutional Capacity Development
HPI	Human Performance Improvement
HPT	Human Performance Technology
IDP	Internally Displaced Person
ISPI	International Society for Performance Improvement
KPI	Key Performance Indicator
MOU	Memorandum of Understanding
ONA	Organizational Needs Assessment
PA	Performance Assessment
PI	Performance Improvement
PMP	Performance Monitoring Plan
PT	Participant Training
RCA	Root Cause Analysis
RFP	Request for Proposals
SOW	Scope of Work
UNHCR	United Nations High Commissioner for Refugees
USAID	United States Agency for International Development
WL	World Learning

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EXECUTIVE SUMMARY

The Government of Georgia's continued commitment to reform following the 2003 Rose Revolution provided an opportunity for USAID to address the issue of limited host country institutional capacity, which remained a significant barrier to the reform process, and served as a contextual catalyst for the founding of the FORECAST Program. The program is based on the Agency's HICD approach which advocates a holistic focus on organizational and individual performance through comprehensive assessments followed by targeted interventions to improve performance related to valued outputs. The USAID Mission in Georgia is currently in the process of strategic and programmatic planning and has asked the USAID Bureau for Economic Growth, Agriculture, and Trade, Office of Education (EGAT/ED) to evaluate its FORECAST Program.

With the roll-out of a new Agency initiative for Human and Institutional Capacity Development (HICD) in 2004, the United States Agency for International Development (USAID) in Georgia proceeded with an informed approach to more holistically address sustainable institutional performance. The Mission's Focus On Results – Enhancing Capacity Across Sectors in Transition (FORECAST) Program was established in September 2007. The Government of Georgia's continued commitment to reform following the 2003 Rose Revolution provided an opportunity for the program to address limited institutional capacity which remained a significant barrier to the reform process. The USAID Mission in Georgia is currently in the process of strategic and programmatic planning and has asked the USAID Bureau for Economic Growth, Agriculture, and Trade, Office of Education (EGAT/ED) to evaluate its FORECAST Program.

Since the Georgia FORECAST program began in September 2007, the program has implemented full HICD initiatives with nine individually selected organizations and numerous stand-alone training and related interventions. The impact of the FORECAST program is far reaching across the USAID Georgia portfolio providing valued outcomes to partner organizations in meeting institutional objectives and thereby to USAID Georgia in meeting its strategic objectives in economic growth, democracy and governance, energy and environment, health, and social transition. Virtually all of the Mission's technical offices reported finding great value in the program and wish to retain the services offered by the program in the future.

This evaluation addresses performance improvement of institutions deemed key to the development of the Republic of Georgia. It addresses the validity and effectiveness of implementation practices underlying USAID's Human and Institutional Capacity Development and participant training activities in Georgia. The report also provides a proposed roadmap for future Human and Institutional Capacity Development initiatives and discrete participant training interventions designed to improve the performance of institutions key to USAID's assistance objectives.

The findings and recommendations provided by this evaluation are based on desk-reviews of FORECAST documentation and interviews with key partner organization,

implementer, and Mission staff. Repeated efforts were made to verify as many of the findings as possible.

Recommendations

Key recommendations include:

- ✓ Incorporating an “Institutional Context Check” in the partner organization selection process to better gauge the degree to which nominated institutions meet HICD selection criteria;
- ✓ Continuing building local Human Performance Technology expertise in order to allow for local organizations to be able to fully and independently provide HICD services;
- ✓ Transferring Human and Institutional Capacity Development know-how to partner organizations and ensuring formal position descriptions allow for full utilization of this knowledge to better equip partner organizations to implement ongoing cycles of continued performance improvement;
- ✓ Establishing criteria for graduation from USAID Human and Institutional Capacity Development assistance so as not to diminish or reverse any performance gains already achieved;
- ✓ Requiring the HICD implementer’s requests for proposals (RFPs) for performance assessments express a straightforward desire for CPT-certified or HPI-certified experts and request core HPT/HPI methodologies, but not place limitations on methodologies to be proposed as additional, supplemental tools;
- ✓ Addressing frequent institutional structure and management fluctuations with host country partner organizations in order to mitigate disruptive consequences.

Other recommendations include:

- ✓ Maintaining a quality-assurance balance for optimal implementer staff caseload;
- ✓ Reducing excessive documentation and Mission approvals requirements;
- ✓ Seeking the establishment and use of internal host country partner organization performance monitoring and management systems, earlier in the Human and Institutional Capacity Development process;
- ✓ Establishing performance scoring systems that do not depend on top management to provide key mid-level performers with needed performance data related to outputs of the organization that are of value to the new management;

- ✓ Including core Human Performance Technology methodologies in performance assessments;
- ✓ Issuing multiple MOUs, each at critical junctures in the HICD process;
- ✓ Requiring detailed descriptions of analysis of performance assessments to better inform all present and future stakeholders;
- ✓ Exploring management models that would allow Mission technical office staff to serve an activity manager role, providing further opportunity for activity integration and enhanced program activities management;
- ✓ Utilizing the FORECAST implementer's HICD Plan as a living document to be modified on an ongoing basis to reflect current Mission needs and priorities;
- ✓ Limiting the use of technical assistance experts as performance assessment team leaders, instead favoring Human Performance Technology experts;
- ✓ Discontinuing to practice of having the implementer produce program outputs-oriented performance monitoring plans, especially under the HICD component of the program.

Specific recommendations for the design of a potential follow-on cross-cutting program are also provided.

INTRODUCTION

With the roll-out of a new Agency initiative for Human and Institutional Capacity Development (HICD) in 2004, the United States Agency for International Development (USAID) in Georgia proceeded with an informed commitment to more holistically address sustainable institutional performance. The Mission's Focus On Results – Enhancing Capacity Across Sectors in Transition (FORECAST) Program was established in September 2007. The Government of Georgia's continued commitment to reform following the 2003 Rose Revolution provided an opportunity for the program to address limited institutional capacity which remained a significant barrier to the reform process. The program is based on the Agency's HICD approach which advocates a holistic focus on organizational and individual performance through comprehensive assessments followed by targeted interventions to improve performance related to valued outputs. The USAID Mission in Georgia is currently in the process of strategic and programmatic planning and has asked the USAID Bureau for Economic Growth, Agriculture, and Trade, Office of Education (EGAT/ED) to evaluate its FORECAST Program.

Agency HICD Initiative and FORECAST Program



USAID has historically made large investments in training, each year supporting hundreds of thousands of host country nationals taking part in USAID-sponsored participant training programs worldwide. Increasingly, USAID has recognized that training does not have an impact until the knowledge or skills acquired by the trainees have been successfully applied to a specific work situation, which, in turn, results in a measurable improvement in organizational performance. Knowledge and skills addressed by training, however, is only one piece of the organizational performance puzzle. Most performance improvement experts recognize at least five additional factors that affect performance in any organization.¹

In 2004, the Agency's Human and Institutional Capacity Development (HICD) model and technical initiative was formulated in recognition that a more holistic approach to sustainable organizational performance is needed. HICD is a series of structured and integrated processes designed to remove significant barriers to the achievement of an institution's goals and objectives. HICD is a USAID model of structured and integrated processes designed to identify root causes of performance gaps in host country partner institutions, address those gaps through a wide array of performance solutions in the context of all human performance factors, and enable cyclical processes of continuous performance improvement through the establishment of performance monitoring and management systems.

¹ Chevalier, Roger. "Updating the Behavior Engineering Model." Performance Improvement 42.5 (2003): 8-14.

The FORECAST Program was established and made available to USAID Missions worldwide in 2005 as a follow-on mechanism for the Agency to continue its long-standing tradition of sponsoring participant training activities, but also provided Agency sponsoring units with a contract mechanism and access to the technical expertise needed to undertake individual HICD initiatives with selected host country organizations.

For more information on The HICD Process, Components, Agency Policy, Mechanisms, and Implementation Guidance, and its components, refer to Appendix B of this report.

USAID/Georgia FORECAST Program



USAID/Georgia's FORECAST program can be accurately characterized as one program with two very distinct components. USAID/Georgia continues to place high value on FORECAST as an extremely flexible mechanism that allows Mission management and technical offices to request discrete trainings and accompanying technical assistance – this first component of the program is the traditional approach to implementing USAID participant training programs, referred to by USAID/Georgia as partial-HICD. Some technical and program officers recognize that training addresses only individual knowledge and skills, even when conducted in the context of the individual's institution, so when a participant returns from the training he or she still works in the same unchanged institution that is often incapable of supporting the new knowledge and skills sets. The Mission also utilizes FORECAST as a means for implementing the second component of the program, longer-term HICD initiatives with individual host country organizations. With HICD, the Mission in Georgia more systematically and systemically pursues sustainable institutional performance with its host country partner institutions.

Since the Georgia FORECAST program began in September 2007, the program has implemented full HICD initiatives with nine individually selected organizations as well as numerous stand-alone training and related technical assistance. The impact of the FORECAST program is far reaching across the USAID Georgia portfolio providing valued outcomes to partner organizations in meeting institutional objectives and thereby to USAID Georgia in meeting its strategic objectives in economic growth, democracy and governance, energy and environment, health, and social transition. Virtually all of the Mission's technical offices reported finding great value in the program and wish to retain the services offered by the program in the future.

The FORECAST program is managed by the Program and Project Support Office (PPS) of the USAID Mission in Georgia, rather than any one technical office in the Mission. It is a cross-cutting program – designed to contribute in terms of outcomes and strategic impact to any of the technical sectors included in the Mission's portfolio. The program been implemented by World Learning with offices in Tbilisi, Georgia, since its inception.

Scope of Evaluation

The purpose of this evaluation is to inform the Mission's decision regarding whether to continue a cross-cutting capacity development program beyond May 2011 by providing USAID/Georgia with a rapid analysis of the effectiveness and relevance of the methodologies utilized, lessons learned from the experiences of previous years of providing assistance under the program, and insights into necessary adjustments to improve the efficiency and effectiveness of the program in the future. The evaluation did not focus on the participant training aspect of the program.

The objectives set forth in the Scope of Work (SOW) for this evaluation of USAID Georgia's FORECAST Program included:

1. Evaluation of progress in relation to the initial project objectives made in four selected target institutions that FORECAST has provided HICD and partial-HICD support for.
2. Evaluation of the relevance of the FORECAST methodology of providing HICD services and interventions and monitoring their effectiveness (including FORECAST PMP) in relation to the project objectives.
3. Recommendations on improving the management and substance of future HICD and partial-HICD interventions deriving from the above.

FINDINGS AND RECOMMENDATIONS

The focus of the evaluation and this report is on HICD and partial-HICD aspects of the FORECAST Program in Georgia, rather than the discrete training and related technical assistance interventions requested by the Mission. This report provides findings and recommendations regarding the performance improvement of certain institutions deemed key by USAID to the development of the Republic of Georgia. It addresses the validity of the methodologies underlying USAID's on-going HICD activities. The report also provides a proposed roadmap for future HICD initiatives in improving the performance of institutions key to USAID's assistance objectives, as well as other requests for discrete participant training and related technical assistance.

The findings and recommendations provided in this report are based on desk reviews of program documentation and interviews with key host country partner organization, implementer, and Mission staff. Repeated efforts were made to verify as many of the findings as possible.

Institutional Performance

Since it began in 2005, the FORECAST program in Georgia has begun HICD or partial-HICD initiatives with fifteen institutions representing all technical areas of USAID/Georgia's assistance portfolio, conducting nine performance assessments (PA) and providing numerous performance solutions. Observations were made about all fifteen of these institutions, with a focus on four selected institutions. The selected focus institutions were: National Center for Education Quality Enhancement (NCEQE)

[formerly known as, National Education Accreditation Center (NEAC)], National Assessment and Examination Center (NAEC), Ministry of Refugees and Accommodation (MRA), and International School of Economics at Tbilisi State University (ISET). The remaining institutions were: Tbilisi State University (TSU), Ministry of Environment Protection and Natural Resources (MEPNR), Municipal Service Providers Association (MSPA) and Municipal Finance Officers Association (MFOA), National Center for Disease Control (NCDC) Persons with Disabilities, Elders and Orphanages Service Agency at the Ministry of Labor, Health and Social Affairs, Georgian Hospital Association (GHA), Georgian Accreditation Center (GAC), National Bank of Georgia – Human Resources Department (NBG), Kipshidze Central University Hospital (KCUH), Health Insurance Mediation Service (HIMS), and Educational and Scientific Infrastructure Development Agency (ESIDA). For more information regarding these institutions, please refer to Appendix D of this report.

When looking broadly on issues of institutional performance of the organizations involved in HICD initiatives, one must keep the idea of “relative progress” in mind. With the transition from the former communist system, structures that had provided a daily context to institutional leaders and key performers began to evolve. This evolution continues to force leaders and performers to manage the practical consequences of these underlying structural changes taking place around them. In terms of mind-set, a fundamental change in basic terms about the way performance is viewed is beginning to occur. Moreover, there are many instances where improved performance can be observed as a direct result of the recommended performance solutions by the FORECAST program.

A distinction must be made between the differences in achievement of objectives for full HICD initiatives and so-called “partial HICD” initiatives, which mainly target short-term tactical objectives rather than full scale performance improvement of an organization. In general, because of their nature, partial HICD projects have achieved these short-term technical assistance objectives. The International School of Economics is an example of such an initiative.

International School of Economics (ISET)

The International School of Economics at Tbilisi State University (ISET) opened its doors to students in 2006 to offer the first Master's Degree Program in Economics at international standards in the South Caucasus. In addition to the two-year Master's Program in Economics adhering to international academic standards with English language instruction by visiting and permanent international faculty, ISET offers a research program providing students with hands-on experience in theoretical and empirical research and producing research and policy analysis for local needs. The school also has an outreach program to re-train faculty, help upgrade teaching and research standards in economics at partner universities in the Caucasus.

USAID's assistance to ISET under the FORECAST program began in January 2009 with a goal of contributing to the growth and sustainability of ISET as a premiere

economic institute of higher learning in the Caucasus region.² The largest challenges facing ISET from the onset were the small size of the institution, relative inability to expand its role in the region, and struggles with fiscal sustainability.

The FORECAST program collaborated with ISET to provide a package of three key interventions. The first was in strategic and business planning enlisting an expert business strategist to help ISET address issues of fiscal sustainability, financial management systems, its relationship with Tbilisi State University, curriculum growth areas, and regional outreach. The second and third intervention stemmed from the strategic planning sessions and consisted of the establishment of new accounting systems and audit strategy, and participant training in Jordan on USAID procurement regulation. Progress can be observed in the major areas challenging ISET: size, regional mandate, and funding. The size of the faculty has doubled from three to six permanent faculty members. Both contributing to its size and its visibility in the region, ISET has established a visiting faculty program. The program focuses on engaging faculty from Azerbaijan and Armenia through teaching opportunities and retreats. Further collaboration with similar education institutions in the region has resulted in increased attendance of students from Armenia from zero in 2009 to ten in November 2010. While ISET continues to face a financial shortfall for its fiscal year 2011, a less expensive, internationally-accepted accounting and auditing system is now in place. In addition, ISET's short-term strategy includes plans to begin applying for grants from international donors and the academic community to help address the future funding situation.

USAID's assistance to ISET under the FORECAST program is viewed as very successful by all stakeholders in terms of outcomes, but contributing factors to this success appear to be more related to ISET leadership and collaboration, rather than the application of HICD principles. In fact, while USAID refers to this FORECAST initiative as partial-HICD, it is the only focus initiative of this evaluation that cannot be considered HICD because none of the key components of the Agency's HICD model were applied. That said, with its manageable size and performance-minded leadership, ISET stands as strong candidate for true future HICD assistance.

Strictly in terms of applying HICD principles, USAID/Georgia should consider continued assistance to ISET in follow-on to the strategic planning that has already taken place in order to help ISET establish and integrate an ongoing performance monitoring and management system based on the school's business plan. Other performance solutions might be considered to help ISET to sustainably address its anticipated fiscal challenges.

National Assessment and Examination Center (NAEC)

The National Assessment and Examination Center (NAEC) in Georgia cites its origins with the initial implementation of the Georgian Education System Realignment and

² World Learning. "FORECAST Caucasus Fiscal Year 2010 Semi-Annual Report." 2010.

Strengthening Program by the Georgian Ministry of Education and Science (MES) in 1999. NAEC was established in 2002 by the MES, with national examinations being carried out in Georgia for the first time the same year. NAEC serves to administer standardized tests for undergraduate and graduate admissions, as well as standardized teacher certification across the country.

USAID set out to contribute to the overall improved performance of NAEC by requesting that a full HICD initiative be carried-out through its FORECAST program beginning in October 2008. NAEC's organizational goals included the rollout of a general graduate examination and the building of internal capacity to meet its expanding organizational mandate and workload brought on by a public focus on the role of NAEC by the Georgian Government.³

A performance assessment was carried out through the FORECAST program in October/November 2008 by international performance improvement consultants and a local FORECAST sub-vendor for HICD expertise, with findings that included organizational performance gaps that were related to factors of human resources, physical environment and equipment, and coordination planning. The assessment resulted in a performance solutions package that included technical assistance in developing a professional management and planning system, as well as assistance related to human resources management and personnel development. In March 2009, the first intervention of a workload planning and coordination tool was developed by an international performance improvement consultant with daily, on-the-ground cooperation of NAEC management and staff. The Director of NAEC approved and accepted the final delivered tool with cited enthusiasm. But, the full tool has never been used as it was designed to be due to a lack of sincere buy-in by department heads. The second planned intervention was to be implemented only after the NAEC established an actual HR department. The second intervention was cancelled at the request of the NAEC Director citing a need to concentrate on other urgent organizational output priorities and an impending move to new facilities before an HR department could be established. A viable connection between the additional workspace afforded by the new facilities and the hiring of an HR manager could not be ascertained by the evaluators.

USAID's assistance to NAEC under the FORECAST program can be best viewed as a challenging lessons-learned. NAEC appears to operate with an informal "family" culture that is accompanied by resistance to formalizing internal processes and communications. The center is experiencing the growing pains of staff expansions, and increased mandate and visibility by the Government of Georgia that such an informal "family" structure strains to support. There certainly appeared to be genuine initial enthusiasm and willingness on the part of top management to introduce change, but middle management and the rest of the staff do not see any value in replacing current, more informal means of communication and coordination. It should be stated that a small, modified component of the workload planning and coordination tool in the form of

³ World Learning. "FORECAST Caucasus Fiscal Year 2009 Quarterly Report." 2009.

a simple process timeline and checklist is being used and appreciated for its relative value by many at NAEC.

USAID should explore the possibility of working with the National Assessment and Examination Center after they move to the new premises and establish the much needed HR department, but buy-in from middle-managers must be ascertained.

National Center for Education Quality Enhancement (NCEQE)

Formerly a department within the Ministry of Education and Science, the National Center for Education Quality Enhancement (NCEQE) has grown into an entity that administers institutional and program accreditation for both private and state owned educational institutions in Georgia.

At the time when the collaboration with USAID's FORECAST program first began, the Center was known as the National Education and Accreditation Center (NEAC). The goal of the full HICD initiative with NEAC was to improve the overall performance of the Center in order to foster the development of an accreditation system and enhancing its service delivery, especially in training schools in self-assessment and external evaluators in evaluation methodologies.

The performance assessment was conducted in two phases during July and October 2008 and the performance solutions package included developing a strategic plan, personnel system, and a database as well as redesigning their core processes and establishing management systems for planning and evaluation. These interventions were implemented from February 2009 to August 2010 and while the core processes were mapped successfully and management system was established, there was a low motivation to contribute to development of the action plan due to the director's resignation in June 2009.

During the interview with the new Director of the Center, the evaluators found out that apart from the database that they still use, the other performance solutions were no longer in place. NCEQE has undergone a tremendous increase in staff, competencies and budget and although the management recognizes the success of the HICD program, most of the solutions appear to be inapplicable to the present situation.

Regardless of the fact that the performance solutions were implemented successfully, the fluctuations in top management and the increased mandate of the Center point to a lack in the case of this HICD initiative of two very important features of the Agency's HICD methodology: obtaining buy-in at the highest level possible and incorporating performance solutions features designed to address potential management changes into the package.

The Ministry of Internally Displaced Persons (IDP) from the Occupied Territories, Accommodation, and Refugees

During the first half of 2008, and prior to the conflict with Russia, the Government of Georgia and the Ministry of IDPs from the Occupied Territories, Accommodation and Refugees (formerly known as MRA), with donor assistance, put in place an Action Plan in order to integrate the IDPs into mainstream society and thus make operational the State Strategy for IDPs.

In February 2009, what started as a discrete request for technical assistance to increase the capacities of MRA to respond to the needs of the IDPs from the conflict in 2008, became a true HICD initiative. The performance assessment and its findings and recommendations were endorsed not only by MRA but also by the international donors who based their own capacity building support to the Ministry on those recommendations. United Nations High Commissioner for Refugees (UNHCR), the Danish Refugee Council (DRC), the Swiss Development Center, European Union and the World Bank invested resources based on the solutions package of the HICD initiative under the FORECAST program.⁴

The Steering Committee, a formal coordination body within MRA, inspired high level participation by all donors and interested stakeholders and drew more than €50 million from EU. It was conceptualized and established as a coordination mechanism by the FORECAST implementer and stands as one of the program's major successes. The Steering Committee resembles the HICD Stakeholder Group although in this case formalized and structured even more so in order to address the need of this particularly vulnerable population of IDPs. The other three areas of focus for FORECAST were the database and information technology strategy development, the communication strategy, and the human resources management. Currently, the remaining interventions from the performance solution package are being implemented by DRC thus fully assuming the performance solutions from the HICD initiative under the FORECAST program.

One of the main lessons learned in this process is that coordination among various stakeholders is extremely important; not only to avoid overlap but even more so to coordinate and complement each other's activities – gaining vital synergies needed to build true sustainable institutional performance. In that sense, DRC and UNHCR have been excellent partners of USAID and the FORECAST program in assisting the Ministry address IDP needs.

⁴ Mooney, E., & Hovey, G. (2010). *Technical Assistance to the Ministry of Refugees and Accommodation - Phase III Final Report*.

FORECAST Program Implementation

The September 2007 start of the new FORECAST in Georgia under the newly awarded FORECAST contract marked a significant shift for USAID implementer staff. The FORECAST Program is designed to have the implementer respond to flexible requests from the Mission to implement both HICD initiatives and traditional participant training, with accompanying technical assistance, referred to as partial-HICD. The shift from providing only participant training services to a full systematic and systemic HICD approach required staff to become familiar with the principles of the Agency's new HICD approach. One forward-edge component of the program calls for HICD activities to be carried-out exclusively by select local organizations, after working with these organizations to build their internal capacity in the area of Human Performance Improvement (HPI) and Human Performance Technology (HPT). The utilization of local performance improvement experts serves as a model for the Agency in building local capacity of performance improvement expertise.

Mission Program Management and Coordination

Management of the FORECAST program by the Program Office of USAID as a cross-cutting activity serves to ensure that the services offered through the program are available equally to all technical offices without any technical sector cliques or bias. Most stakeholders hold the view that it is best for HICD to be a cross-cutting program, managed by the program office, citing synergies in methods, implementation, expertise, and procurement. There is also some interest by specific stakeholders in the Energy and Environment Office in perhaps exploring the integration of HICD principles into certain technical assistance programs that they manage directly.

The evaluation team conducted fact-finding meetings with staff representing all of the Mission's technical offices. Most staff members were very familiar with the purpose, services, and flexible-value of the participant training component of the FORECAST Program, but most did not share an awareness or understanding of the Agency's HICD initiative or the program's HICD component. The Mission program office should consider organizing activities to reinforce practical knowledge on the part of technical office staff of the entire Agency HICD model and sub-components, as well as the implementer's role in providing expertise and services to promote awareness and understanding of the program's HICD component. USAID will be offering an online course on HICD in 2011. Mission and implementer staff are encouraged to complete this course.

Another reoccurring theme in technical office staff feedback suggests that improvement could be made by enhancing the technical office's role in intervention or activity oversight. While the value of having the program managed by the Program Office seemed evident, sector experts in technical offices suggested they are asked to provide program approvals for interventions or activities that they are not aware of or involved with in terms of oversight. Ideally, FORECAST interventions should be integrated within

the technical offices' portfolios. The Mission might explore enhanced management models that would allow staff in cognizant technical offices to be appointed to an activity manager role, while the program office retains role of contracting officer's technical representative (COTR) and overall management responsibilities for the program. Such a management arrangement may also provide further opportunity for FORECAST program activities to be integrated with technical assistance implementer activities.

Institution Structural and Management Fluctuations

The often disruptive consequences of frequent institutional restructuring and turnover of management and key stakeholders due to political reasons have been a recurring issue encountered by the FORECAST Program implementer. Often new ministers, directors, or administrators arrive at post with their own ideas of how the institution should be altered and have little or no exposure or sense of ownership of any ongoing HICD initiative (for example, the new Director of NCEQE and the Head of Administration at MRA).⁵ One obvious way of addressing such situations is to institutionalize process changes and other performance improvements at the permanent performer-levels, so that at least new individual practices will likely not revert to previous performance (such as the Personnel Development System at the National Center for Education Quality Enhancement, the Steering Committee at the Ministry for Refugees and Accommodation, and the establishment of alumni office at the Tbilisi State University). Establishing internal scoring systems that do not depend on top management can be effective in providing key mid-level performers with needed performance data related to outputs of the organization that are of value to the new management. It may also be useful to institutionalize performance changes, changing by-laws, based on changes to primary laws. Establishing internal standard operating procedures, and providing job aids aimed at the individual performer level can also be extremely effective.

Change Management

To address the issue of management turnover, and moreover, broader issues of openness and readiness for change, USAID should request that the FORECAST implementer reinforce its efforts to explicitly include change management principles as a standard HICD component for the FORECAST program. Change management is designed to help an organization's leaders and performers transition their thinking toward true performance based outcomes and management. It is a set of processes implemented to ensure that significant changes are enforced in an orderly, controlled and systematic manner to effect organizational and individual performer change. The most effective way to make needed changes is to pinpoint existing resistances to change and then focus efforts on eliminating or reducing as many of those incidences and types as possible. Change management might be included as one of the responsibilities of the host country partner organizations as laid out in the initial memorandum of understanding, and possibly further specified in any later MOUs (see

⁵ World Learning. "FORECAST Caucasus Fiscal Year 2009 Annual Report." 2009.

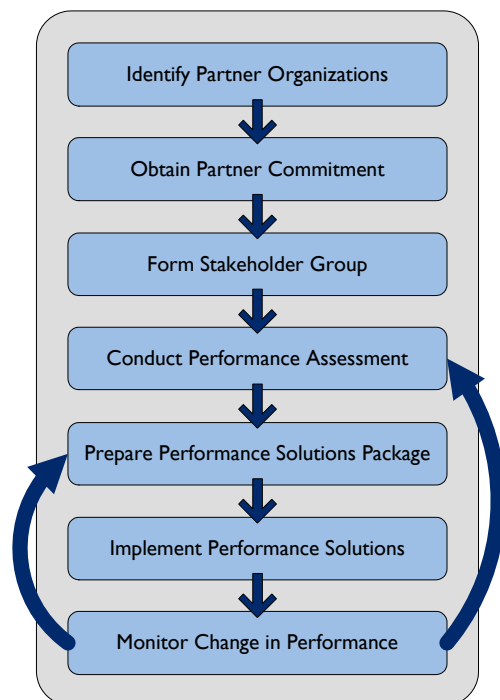
the Application of HICD Model Components section of this report). Effective mitigation of resistance to change, recognition of past implementation problems, and a strong communication plan can help to ensure that HICD activities are better able to weather any managerial or structural changes.

Application of HICD Model Components

Using the Agency's HICD process, illustrated on the right, USAID/Georgia can better focus on strengthening host country partner organizations that are key to achieving the Mission's assistance objectives.

Identify Host Country Partner Organization

The selection process undertaken for the HICD initiatives under the FORECAST Program has resulted in the identification of certain highly suitable institutions for HICD, but also several less so (e.g., NAEC). One major factor is the high level of continued fluctuation in institutional structure and leadership across public institutions in Georgia. Currently, the Mission program office annually solicits nominations from the technical offices based on a predetermined set of selection criteria. Final selection is made by the Mission front office. The FORECAST implementer is informed of selected institutions only after final selection, and nomination documentation is not shared with the implementer.



The Mission should consider the FORECAST implementer's HICD Plan to be a living document to be modified on an ongoing basis to reflect current Mission needs and priorities, thus institutions can be selected for HICD initiatives at any time throughout the fiscal year based on obligated funds available.

The selection process would be aided by providing the FORECAST implementer with Mission nomination documentation and tasking the FORECAST implementer, including local HICD expert sub-contractors, with conducting a pre-selection institutional context check of the degree to which nominated institutions meet HICD selection criteria. Such an analysis would involve any USAID technical assistance providers and other donors or stakeholders, as appropriate. The results of the pre-selection institutional context check could also be provided to the PA team to serve as a basis for the performance assessment. The analysis must delve into a number of fundamental selection factors, including:

- ✓ direct alignment between the organization's and USAID's objectives for the sector;

- ✓ degree of buy-in to the HICD process from all levels of the organization, top-down, but not just the top leadership;
- ✓ likelihood of changes in organizational structural or leadership that may have an affect initiative implementation;
- ✓ degree of collaboration with technical assistance providers.

Having the experience of an already existing technical assistance provider working with a given institution can be invaluable during the selection and initiative implementation, so consideration should be given to revising or redefining the selection criteria related to “over-crowding” to allow for appropriate synergies and leveraging of resources. Selection criteria should also be revised to remove confusing or redundant criteria (and one that’s counterproductive).

Assessing the partner’s initial commitment to undertaking an HICD initiative with the FORECAST implementer should become a fundamental element of the Mission’s selection process and may be accomplished through a series of meetings explaining the HICD methodology and mutually exploring performance areas to be targeted. In assessing the partner’s commitment to an HICD initiative, USAID should ensure direct alignment between the partner organization’s own internal objective and USAID’s assistance objectives for the sector, and that the initiative directly addresses areas of greatest concern to the partner organization.

Obtain Partner Commitment

Securing partner commitment is crucial to the success of any HICD initiative. While gauging initial commitment of the partner must be part of the host country partner organization selection process, memorandums of understanding (MOU) can be used as a vital tool to capture the agreement of parties in writing to jointly undertake an HICD initiative. The current practice of the FORECAST Georgia Program is to issue one MOU at the beginning of a new initiative with a partner organization prior to conducting the performance assessment. These MOUs are signed by the FORECAST implementer and the leadership of the host country partner organization.

There are examples of initial host country partner organization commitment, that later diminishes due to subsequent institutional or leadership changes – but, the HICD initiative moves forward without regard to this shift, resulting in wasted resources (e.g., NAEC). USAID/Georgia would be better served adopting the practice of having its HICD implementer issue multiple MOUs, each at critical junctures in the HICD process. For example, an MOU could be signed at the point of initial partner organization selection, prior to the performance assessment, in mutual agreement to the performance solutions package, prior to any performance solution of high fiscal value, or to address subsequent cycles of performance improvement assistance. As stated in an earlier section, establishing change management as a responsibility of the host country partner organization could help to establish buy-in and commitment from multiple levels of the organization early on in the activity.

An MOU should also be executed when leadership changes occur within the partner organization. Meetings should be held with the new leadership explaining the HICD methodology and mutually exploring performance areas to be targeted. Even if the HICD initiative is well underway and many performance solutions are already in place, it is important to engage new leadership to ensure continued usage of the introduced performance principles before receiving further HICD assistance. The Mission may consider negotiating a compromise that involves the continuation of HICD principles in situations where new leaders arrive with a new agenda for the organization.

USAID/Georgia should also consider adopting the practice of including a USAID representative and the highest practical stakeholder leadership as stakeholder signatories to these MOUs in order to raise the probability of successful implementation of HICD programs, through increased motivation for principled performance improvement within selected host country partner organizations. Initial MOU signing may even be carried-out as public and media relations events.

Form Stakeholder Group

Appropriately functioning stakeholder groups do not exist for most HICD initiatives undertaken by the FORECAST Program (the MRA initiative being a notable exception). A primary function of the stakeholder group is to provide feedback to the partner on the HICD process, including the selection and funding of recommended performance solutions and evaluation of HICD results.

The stakeholder group can also be used to communicate the value of the HICD initiatives to new institutional leadership and possibly mitigate the effect of organizational leadership changes. Functioning stakeholder groups can help to provide continuity and communication, stability, given often tumultuous organizational circumstances that were not foreseen at the beginning of the HICD activity, as well (see also the Institution Structural and Management Fluctuations section of this report). The stakeholder group formed for the MRA initiative is one of the strongest aspects of USAID's development assistance to MRA under the FORECAST Program – showing that a proactive approach to coordination is necessary and yields positive, synergistic results.

The Mission should require that the implementer begin consistently implementing this important HICD component. A stakeholder group should be established for each overall HICD initiative with a given host country partner organization. The primary members of the stakeholder group are management and key staff from the partner organization. Other members may include: Mission staff, Assistance Objectives team leaders, Program Officer and/or mission's HICD point of contact, and activity manager(s); HICD Contractor – key staff most familiar with partner organization and/or sector and Country Director or other HICD expert staff; and, Technical Assistance Provider(s) – Chief of Party (COP) or designee, and key staff most familiar with partner organization and/or sector.

Conduct Performance Assessment

At the very heart of the Agency's HICD model is the organizational performance assessment (PA). This vital component designed to identify core causes of performance gaps in host country partner organizations, suggest a wide array of performance solutions in the context of all human performance factors (see appendix B) in order to address those gaps, and enable cyclical processes of continuous performance improvement through the recommended establishment of a performance monitoring and management system, if not already in place. As a result of the PA, the host country partner organization will receive a written report detailing the findings of the assessment team, along with the team's recommendations for performance solutions.

The evaluation team found that PAs under the FORECAST program are sometimes not being carried out by certified performance improvement experts (for example, KCUH and NCDC), but rather by subject-area experts in the fields primarily handled by each institution targeted for an HICD initiative.

The evaluation team reviewed the HICD implementer's requests for proposals (RFP) used to hire experts to carry-out the PAs that have been or will be conducted thus far under the program. Evidence suggests that the FORECAST implementer is not consistently requesting (or selecting) CPT/HPT certified experts, nor is the implementer consistently requesting core, fundamental HICD model component approaches. The desk review of these ten (10) RFPs and resulted in the following findings:

- ✓ zero (0) of the RFPs requested that offers be CPT/HPT-certified;
- ✓ only one (1) RFP mentioned the Agency's HICD model to give context to the assessment;
- ✓ only one (1) RFP mentioned the six recognized human performance factors in the context of recommending performance solutions;
- ✓ only six (6) RFPs mentioned the HPT/HPI models as the technical basis for the performance assessment;
- ✓ only five (5) RFPs requested the establishment of performance indicators at various level of the organization by performance consultants in support of measuring performance on an ongoing basis in relation to organizational goals;
- ✓ none (0) of the RFPs highlighted the need for the assessment to address the establishment of an internal performance monitoring and management system to continually monitoring these very same performance indicators (see previous item) that should be identified in the assessment – another hallmark of the Agency's HICD model.

The Mission should require that implementer requests for proposals (RFPs) for PAs express a straightforward desire for CPT-certified or HPI-certified experts and request core HPT/HPI methodologies, but not place limitations on methodologies to be proposed as additional, supplemental tools. HPT represents proven approaches in the science of human performance and are a founding, core component of the Agency's HICD model. The consistent use of certified performance improvement experts will help ensure that what is being implemented under the program is actually HICD. Core components of the HICD and PI models (see Appendix B), include:

- ✓ Identification of performance gaps, based on alignment with institutional objectives;
- ✓ Performing a cause analysis (i.e. -- root cause analysis, opportunity analysis; bridging between performance technology and systematic change; as well as opportunity inquiry, ideal performance system design, performance system creation, and appreciative evaluation);
- ✓ Observation of the six recognized human performance factors in the context of the RCA when recommending appropriate performance solutions;
- ✓ Establishment of performance indicators at various level of the organization by performance consultant in support of measuring performance on an ongoing basis in relation to organizational goals;
- ✓ Establishment of an internal institutional performance monitoring and management system to allow host country partner organizations to continually monitoring their performance indicators as defined in the PA.

The implementer is to be commended for constantly searching for new ways of solving often complex performance issues in the context of the technical sector of the partner organization. One cited implementation practice is procuring the services of an HPT-expert that is also a sector-expert in the same field as the partner organization. HPT expertise should not be negatively influenced, overcrowd, or infused with undue influences by other sector-specific methodologies. When possible, the practice of involving separate practitioners for HPT and sector expertise, respectively, should be maintained. USAID's core approach to performance improvement is contained in the HICD model – these are the officially recognized Agency approaches; the holistic, systemic, systematic characteristics of the PI model is what sets HICD apart from other Agency technical assistance efforts in the area of institutional capacity building.

One important function of a PA report that is presented to the host country partner organization is to record the technical approaches used and the analyses performed by the PA team for the clear utility of all present and future stakeholders involved in an HICD initiative. PA reports produced on the FORECAST program varied widely in these terms. Requirements for the contents of PAs should also include a detailed description of the analysis that was conducted, as well as any instruments or surveys that were used to carry out the assessment. These would most likely reside in an annex of the report and would then be available for possible use by the partner organization itself and other stakeholders.

A recurring theme in stakeholder feedback suggests that the practice of allowing performance improvement experts to frequent, but short, trips in and out of the country to work with host country partner organizations in conducting assessment or implementing performance solutions can be disruptive to the Georgia-based stakeholders. Whenever feasible and practical, HPT international consultants' scopes of work should call for fewer, but longer-term, engagements in-country. This issue can be further addressed with the expanded use of the FORECAST implementer's sub-contracted local HICD expert organizations to conduct PAs, as these organizations

become better equipped to do so without the assistance or oversight of international consultants.

A last observation regarding assessment of institutional performance is that there often appears to be significant lag-time between the completion of the PA and implementation of the first performance solutions. Implementer staff suggested this can often be an issue of re-connecting with the partner organization which may not have had regular contact with FORECAST staff during the duration of the performance assessment. To help address this issue HICD implementer staff could be included on the performance assessment team to facilitate the transition from the performance assessment phase to the performance solution implementation stage.

Establish Performance Monitoring and Management System - Monitor Change in Performance

Performance is ideally described according to measurable indicators that align with the mandate and objectives of the institution. However, a desk review of HICD PAs revealed that the methods for setting levels of desired performance and measuring actual performance were at times less than clear. Many of the assessments did not focus on descriptions of performance that came from measurable indicators linked to institutional goals. This can cause a disconnect between the way performance is being described in the assessment and the overall measurement of organizational performance.

Measurable key performance indicators (KPIs) that are in full alignment with Mission and partner organization objectives should be established as part of the PA or early in the implementation of the HICD initiative. Not only would this allow for more accurate and objective descriptions of actual and desired performance, but it would also provide a baseline set of data to which post-intervention performance measurements could be compared. It must be noted that the institutions' staff must understand the relevance of KPIs and be able to actively participate in their development. The ability to develop KPIs is directly related to the commitment and readiness to use them beyond program graduation and make them part of a broader performance management system.

A review of PA expert RFPs and PA reports indicates that there is insufficient emphasis being placed by the implementer on the value USAID holds in assisting host country partner institutions to enable internal cyclical processes of continuous performance improvement through the establishment of performance monitoring systems. The establishment and institutionalization of performance monitoring systems (e.g., performance scorecard, dashboards) at the organizational-level is a hallmark of the HICD approach and should be a more prominent component in all future HICD initiatives. Notwithstanding the expert view that all processes must be mapped before developing unit or performer-level performance indicators, organizational-level performance monitoring systems can form an integral component of the PA itself and should not come as the last, perhaps never implemented recommendation of the PA.

Fewer Institutions, More Depth

Generally, an HICD initiative implemented by the FORECAST Program in Georgia consists of a performance assessment and select performance solutions to address one cycle of performance improvement, and then the HICD initiative for a given institution is finished. True institutional performance improvement and capacity development is a long-term approach of building sustainable cycles of continuous performance. The HICD component of the follow-on cross-cutting program should be designed to be more selective and focus on longer-term, more in-depth HICD assistance, even if doing so results in the selection of fewer institutions. This will allow for greater engagement through more focused collaboration, and more targeted assistance.

Withdrawal of HICD Assistance

Generally, an HICD initiative implemented by the FORECAST Program in Georgia consists of a performance assessment and select performance solutions to address one cycle of performance improvement, and then the HICD initiative for a given institution is finished. True institutional performance improvement is a long-term approach of building sustainable cycles of continuous performance within the institutions themselves. Moreover, initiating and managing change in organizational culture and performer mindset takes time, often more time than simply the introduction of new technology or contributing to a more enabling business environment (i.e. - drafting/passing laws, etc.).

Careful consideration should be given before withdrawing HICD support from those host country partner organizations that remain active, productive partners with USAID in improving their performance, so as not to diminish or reverse any performance gains already achieved – in effect squandering the resources already expended on these partner organizations. Criteria for graduation from USAID HICD assistance, oriented at sustainable performance improvement should be developed, along the following lines:

- ✓ USAID strategic objectives related to the institution have been met or are no longer linked to institution outputs;
- ✓ The institution has demonstrated sustained, measurable levels of relative performance improvement that directly supports institutional goals;
- ✓ The institution has basic levels of in-house HICD know-how and access to external sources as needed;
- ✓ The institution has a meaningful, functioning performance measurement system;
- ✓ The institution has an ongoing plan to develop and implement interventions in response to measurement system;
- ✓ The institution has a strategy for obtaining resources for ongoing future interventions.

Potential benefits of establishing criteria for graduation from USAID HICD assistance may also warrant a revision of the Agency's overall HICD guidance to provide a general framework for the inclusion of this important consideration.

Future Program Design

USAID/Georgia technical office staff almost universally hailed the flexibility of the FORECAST Program to enable them to respond to unexpected technical needs or requests as absolutely unique and invaluable to their program portfolios. The design of the program will continue to drive demand for FORECAST-type services and the need for a follow-on program. The Mission program office has informed the evaluation team of its intention to maintain one program in the future to ease management burdens, as opposed to de-bundling services along natural lines of distinct expertise between participant training and HICD. With this information in mind, the team offers the following findings and recommendations for future programmatic planning.

A Distinct Programmatic Niche

Fact-finding meetings with staff representing all of the Mission's technical offices provided the evaluation team with an opportunity to gauge perceived value of the FORECAST Program throughout the Mission, but also the opportunity to identify any overarching administrative issues. Certain staff members were very familiar with the purpose, services of the FORECAST Program, but universally, Mission staff struggled to identify the distinct purpose or niche of the program, aside from its flexible accessibility, relative to the Mission's sector-specific technical assistance programs.

USAID/Georgia should consider that there are two distinct design characteristics that would define a follow-on program to FORECAST – a true cross-cutting program designed to integrate adult-learning and institutional performance improvement expertise across all sectors, regardless of the sector:

- ✓ The first is indeed the intended flexible accessibility in responding to discrete requests for participant training and accompanying technical assistance. USAID's assistance to ISET under the FORECAST program is an excellent example of this type of programming that is possible given the flexible design of the FORECAST program which is so valued by the USAID/Georgia.
- ✓ The second is the delivery of expertise and services related to the Agency's Human and Institutional Capacity Development (HICD) model and initiative. HICD is longer-term, more in-depth approach to address the overall organizational "health" of institutions, regardless of the sector, for an organizational performance improvement approach. Utilizing certified performance technologists (CPT) to provide organizational performance technology is absolutely unique from most technical assistance programs offering capacity development via sector-specific experts.

The evaluation team observed a perceived general lack of knowledge, understanding, or recognition on the part of many Mission staff between HICD and discrete participant training and technical assistance requests (a.k.a. - partial-HICD). In fact, during discussions with Mission staff, the term HICD was often used interchangeable to refer to either of these distinct program components. USAID/Georgia will need to address this finding when engaging Mission staff in the design of a follow-on program.

Two Distinct Program Components

The two distinct design characteristics that would define a cross-cutting follow-on program to FORECAST addressed in the previous section present the Mission with program design challenges. Participant training and HICD are two very different program components that require very different types of implementer expertise. The challenge for USAID/Georgia will be to obtain the two very different types of implementer expertise from a single procurement. One way of addressing this issue would be to design the program procurement so that a consortium of these two types of implementers is logically led to join forces. Another might be a sub-contractor/grantee relation where the areas of expertise between the prime and subordinate implementers are clearly defined along the lines of these distinct areas of expertise.

Partial-HICD

Human and Institutional Capacity Development (HICD) is a USAID model of structured and integrated processes designed to identify root causes of performance gaps in host country partner institutions, address those gaps through a wide array of performance solutions in the context of all human performance factors, and enable cyclical processes of continuous performance improvement through the establishment of performance monitoring and management systems. The term partial-HICD is a term uniquely used by USAID/Georgia to refer to packages of participant training and technical assistance implemented by the FORECAST implementer. Theoretically, the design of these packages of interventions would be based on pre-existing institutional capacity assessments or the pre-existing knowledge of technical assistance implementers, USAID staff, or other donors – but in practice, it almost always based on simply a few meetings with the host country partner organization to make a peripheral determination of the major capacity needs.

At the core of the Agency's HICD model are certain elements of principled performance improvement: direct alignment of partner organization objectives to USAID objectives for the sector; a completely systematic and systemic assessment of gaps in institutional performance; performance solutions (a.k.a. – interventions) designed to address the human performance factor that is most closely associated with the core causes of the gaps; and an institutionalized performance monitoring system that allows host country partners to manage their own performance on an ongoing basis (while also providing USAID with much needed hard data regarding its development assistance efforts). The evaluation team approached the term “partial-HICD” with an open-mind and sought to identify the core HICD elements in the partial-HICD initiatives implemented under the current FORECAST program. These elements could not be identified at a level that would suggest that these activities are even partially HICD. The so-called partial-HICD initiatives are, in fact, simply discrete requests for packages of participant training and/or related technical assistance – traditional participant training programming as it has been done by the Agency worldwide for many years. This finding was corroborated by both FORECAST implementer staff and certain Mission staff. The participant

training component of the current FORECAST program is highly valued by the Mission and therefore any potential follow-on program should be designed to acknowledge the participant training component of the program, and the term “partial-HICD” should no longer be used in order to mitigate confusion.

Performance Monitoring Plans

The development of Performance Monitoring Plans (PMP) is a standard practice of the current FORECAST Program. A desk review of the PMPs identified issues with the manner in which the PMPs are developed, the information itself that is collected in PMPs, the manner of information collection, and the way the information is being used. First, each PMP is formulated by each intervention or solution provider, and each provider views the purpose, usefulness, design of their PMP differently, resulting in mismatched, sometimes significantly different, PMPs for the same package of interventions for the same host country partner organization. FORECAST PMPs attempt to collect information regarding outcomes of specific interventions or solutions, rather than collecting information on outputs directly related to an established KPI over time in correlation with the implementation of an intervention or solutions package. Even in cases of full HICD initiatives, such as NAEC and NCEQE, organizational performance monitoring was not explicitly tied into the PMPs that were used both at the organizational level and at the activity level. The PMP data is collected by the FORECAST implementer, mostly via telephone calls and emails to the host country beneficiaries, but not used as an internal tool by the beneficiaries themselves. Finally, the PMPs themselves are delivered to the USAID program office as a contract deliverable, but stakeholder feedback suggests that the PMPs are not widely used by Mission staff for Agency Reporting purposes.

USAID/Georgia is encouraged to discontinue to practice of having the implementer produce such PMPs, especially under the HICD component of the program. Rather, value for USAID would be realized in assisting host country partner institutions to establish performance monitoring and management systems, resulting in performance data that informs cyclical processes of continuous performance improvement within the partner institution. It is also this performance data collected within our host country partner organizations that would be truly useful to USAID for Agency reporting purposes. Also, mindful of the Agency’s focus toward use of host country systems, actual performance data from partner organizations could better inform decisions related to pursuing direct host country organization contracts.

Implementer Staff Caseload and Documentation Requirements

As implementer staff continue to provide HICD support to existing and new partner organizations, the Mission should be mindful of the need to find a quality-assurance balance between the number of institutions and implementer staff caseload. This issue of implementer workload is interrelated with an ongoing issue of excessive documentation and Mission approval requirements under the current FORECAST program.

At higher management and implementation levels of the program, the current FORECAST contract is required to develop an operations manual detailing how its staff will conduct all aspects of program implementation. The implementer is also responsible for maintaining an HICD/Participant Training Plan detailing the technical activities of the program. It is the operations plan and HICD/Participant Training Plan, together, that have traditionally served as the implementer's work plan for cross-cutting programs such as FORECAST. In recent years, the Mission has requested that the implementer also produce another work plan, akin to those used by technical assistance implementers, resulting in yet another document that must be produced by the implementer. The development of this extra work plan is not part of the original design of the FORECAST program and it is not a requirement of any other FORECAST program elsewhere. In order to reduce excessive documentation requirements, and in order to ensure program flexibility, USAID/Georgia should consider in the design of a follow-on cross-cutting program, the exclusive use of HICD Solutions Packages and a flexible Training/T.A. Plan, and discontinuing the practice of requiring an extra work plan.

Reporting, documentation, and Mission approval requirements of the current FORECAST program are described as excessive by both USAID and the implementer. Implementer program staff reported spending much of their day cutting and pasting information from one report or form to the next. These multi-layered, overlapping, and somewhat redundant requirements include weekly, monthly, quarterly, and annual reports on program implementation and results. A series of forms that are designed to provide both USAID and its implementer with technical design and implementation tools are observed in practice to be overwhelming and sometimes redundant in the context of the FORECAST program in Georgia. These forms include intervention concept forms, intervention request forms, request for provider proposals templates, intervention implementation plans, budget worksheets, and more. Four of these forms require Mission approval, involving Mission program and/or technical office staff attention each time for the same intervention. The Mission is encouraged to ensure that the design process of a follow-on cross-cutting program includes a thorough review involving all Mission stakeholders of the Mission's practical needs in terms of project reporting and management approvals.

Accessible Performance Improvement Expertise

A core component of the Agency's HICD model is the organizational performance assessment (PA) which is intended to be conducted by certified performance improvement experts.

Local Certified Experts

The design of the current FORECAST program to build local capacity to carry-out HICD initiatives, including the PA, has been found by the evaluation team to be a forward-

edge and successful approach that could stand as a model for the Agency in building the local capacity of performance improvement expertise.

More so than any other HICD activities to date, FORECAST/Georgia utilized the services of local consultants and organizations in conducting performance assessments and in implementing solutions. This was done through the issuance of sub-IQCs by FORECAST/Georgia to local business service providers. FORECAST/Georgia organized training sessions on HICD and performance improvement specifically for these local partners. The first sessions were held before the beginning of any HICD activities. This paved the way for the first two years of the program, during which, according to the implementer, "FORECAST IQC ...local partners had a secondary role in providing support functions to the international performance improvement experts, while learning the HICD methodology through coaching and mentoring that was provided on-site."⁶ The next phase beginning now is for the local partner to take the lead in conducting performance assessments under the oversight of international performance improvement experts. This is the exact type of dual-capacity-development approach that the evaluation team commends the FORECAST/Georgia program for taking. Not only are the capacities of the targeted host country organizations strengthened, but the capacities of the local implementer partners are strengthened.

Consideration should also be given to including the following components in the design of the follow-on cross-cutting program:

- ✓ require current (category I) local partners to obtain CPT or HPI certification;
- ✓ reduce the need for limited competitions amongst sub-IQC holders, especially if successful relationships with host country partner organizations have already been established; and
- ✓ continue to seek to cultivate new rounds of additional local business service providers in providing HPT services.

In-House Certified Experts

Another recommendation is for the Mission to consider designing the follow-on program to include a requirement that implementer Chief of Party and Program Managers be certified HPT experts, and participate in PAs and other roles of certified experts. This would also help address this issue of lag-time from the performance assessment phase to the performance solution implementation stage by allowing staff to better facilitate the transition (see Perform Performance Assessment section of this report).

HICD Know-How Transfer

Sustainable institutional capacity building requires a continuous cyclical process of performance improvement. It is not realistic for an HICD initiative to run through one set of performance improvement cycles (as contained in the original PA and intervention package), then withdraw HICD support from the institution and expect most of the

⁶ World Learning. "FORECAST Caucasus Fiscal Year 2010 Semi-Annual Report." 2010.

performance gains to be sustainable. Ultimately, HICD initiatives will be successful over the long-term if the partner organizations can integrate HICD approaches into their operations and culture. This must be a principal goal of HICD practitioners. One way for USAID to help its partner organizations achieve this is to include in the design of the follow-on cross-cutting program the need for the program implementer to transfer HICD know-how to key performers within each host country partner institution or to an established staff person to serve as the institution's resident HICD coordinator to carry out HPT with a continuous performance monitoring system (scorecard), reassessing gaps, RCA, and other component. Most western organizations utilizing performance improvement implement the methodologies with in-house staff supported only by outside experts. This should be the end goal for the HICD component of the follow-on cross-cutting program in Georgia. The design of a follow-on program should purposefully include:

- ✓ Transfer of HICD know-how from program implementer staff to partner organization staff, with updated job descriptions to allow for ongoing utilization of these skills at partner institutions;
- ✓ Ongoing HICD coaching; and
- ✓ Membership in HPT/HPI and capacity development professional organizations (e.g., International Society for Performance Improvement or American Society for Training and Development).

GENERAL CONCLUSIONS

USAID/Georgia's FORECAST program can be accurately characterized as one program with two very distinct components. USAID/Georgia continues to place high value on FORECAST as a flexible mechanism that allows Mission management and technical offices to request discrete training interventions and associated technical assistance, as well as HICD, to better address the pursuit of sustainable institutional performance with its host country partner institutions. The impact of the FORECAST program is far reaching, across the Mission's entire portfolio, providing valued outcomes to partner organizations in meeting institutional objectives, as well as to USAID Georgia in meeting its strategic objectives in economic growth, democracy and governance, energy and environment, health, and social transition. The findings and recommendations conveyed in this evaluation report are provided with a spirit of appreciation and admiration. EGAT/ED remains a full and willing partner in supporting future USAID/Georgia HICD and participant training endeavors.

APPENDICES

- A. ORIGINAL SCOPE OF WORK
- B. THE HICD PROCESS
- C. MEETINGS HELD
- D. INSTITUTIONS STUDIED
- E. DOCUMENTS REVIEWED

APPENDIX A. ORIGINAL SCOPE OF WORK

STATEMENT OF WORK

Evaluation of USAID'S FORECAST Program in Georgia

Summary

USAID/Caucasus-Georgia seeks to carry out an evaluation of the full and/or partial⁷ human and institutional capacity development (HICD) interventions implemented under the FORECAST activity in Georgia since September 2007. The current FORECAST activity ends in May 2011. The mission may initiate a follow-on HICD activity. Therefore, the evaluation will help the mission (a) take stock of the effectiveness and relevance of the current activity (b); make needed improvements in the management and substance of interventions; and (c) make an informed decision about the continuation of the future activity starting following May 2011. The main components of the evaluation will be as follows:

1. Evaluation of progress in relation to the initial project objectives made in 3 selected target institutions that FORECAST has provided HICD and partial-HICD support for.
2. Evaluation of the relevance of FORECAST methodology of providing HICD services and interventions and monitoring their effectiveness (including the FORECAST PMP) in relation to the project objectives.
3. Recommendations on improving the management and substance of future HICD and/or partial-HICD interventions deriving from the above.

Background

Focus on Results: Enhancing Capacity Across Sectors in Transition (FORECAST) is designed by USAID to promote the usage of HICD in the E&E region in order to complement E&E's on-going development assistance activities by helping USAID partner organizations to integrate performance improvement (PI) technologies into their organizational processes.

The overall development hypothesis is as follows: an institution cannot be effective and efficient unless its performance is driven by (a) a skilled workforce, and (b) an effective organizational structure (including well-designed systems, policies, work processes and procedures). Human capacity development (i.e.: training) is only one aspect of an intervention aimed at PI of an institution. Other aspects aim to close identified gaps in organizational structures that cause a misuse of an institution's human and material resources. It is believed that only the combination of the two approaches is most likely to lead to tangible improvements in the overall performance of an institution.

In Georgia, FORECAST (preceded by the START program implemented in 2002-2006 years) is implemented since September 2007. It complements the implementation of USAID/Caucasus-Georgia's assistance objectives (AO) in democracy and governance, economic growth, energy and environment, and health and social development. This is achieved through the development of individual skills and institutional strengthening of select public, private and civil society organizations (CSO) that play a

⁷ performance improvement interventions with which the mission responds to the specific needs of institutions that have already carried out a performance assessment.

strategic role in the implementation of the Georgian government's reform program and the mission's AOs. Furthermore, it addresses performance gaps within select organizations that have yet to overcome internal management, organization and skills barriers to effective and efficient implementation. Thus, FORECAST employs a holistic approach of improving the performance of institutions from a point of view of organizational structure and processes, as well as individual employees.

The current government is strongly committed to human and institutional capacity building and has requested such assistance in several areas including vocational and higher education, health reform and hospital administration, rule-of-law, local government, public administration, and business climate reform to mention a few. USAID has successfully responded to many requests in these areas since 2007. The majority of entities FORECAST has worked with have been public institutions.

Under its Task Order FORECAST is mandated to provide a comprehensive package of HICD and non-HICD services and interventions, including, but not limited to, the following:

Services

- Ongoing expert consultation services related to the Mission's overall HICD efforts across its portfolio;
- HICD planning and coordination on the development of annual work plans in which organizations are identified to receive HICD interventions and individuals selected for training, mission HICD plans and assistance to technical office teams to develop or revise individual HICD plans, as requested, and partnering with extended AO Teams and stakeholders;
- Procurement of training and non-training interventions and logistics providers;
- Intervention implementation services: participant recruitment and processing, pre-departure orientation, and participants tracking, reporting and monitoring;
- Program monitoring, evaluation and follow-up;
- Participant training processing services (US and third-country).

Interventions

- Performance assessments (PA);
 - Organizational performance
 - Individual or workgroup performance
- Participant training/Academic education
- Technical assistance (TA)
- Small grants
- Local capacity building

Intended use and objectives of evaluation

The **intended use** of the evaluation is to inform the mission's decision regarding the continuation of FORECAST beyond May 2011. The evaluation is, therefore, expected to provide the mission with a rapid assessment of the effectiveness and relevance of the mission's HICD methodology, lessons learned from the experiences of previous years and insights into necessary adjustments to improve the efficiency and effectiveness of HICD interventions in future. Given the time and resource constraints the evaluation will not examine all interventions to date. Nor will it focus on the participant training aspect of the program. Rather, it will engage with a selected number of institutions (at least three), for which FORECAST assistance has been perceived (by the mission, the contractor and the target institution) as either successful or unsuccessful. The list of institutions will be provided by the mission.

The **objectives** of the evaluation are as follows:

1. Evaluation of progress in relation to the initial project objectives made in 3 selected target institutions that FORECAST has provided HICD and partial-HICD support for.
2. Evaluation of the relevance of FORECAST methodology of providing HICD services and interventions and monitoring their effectiveness (including the FORECAST PMP) in relation to the project objectives.
3. Recommendations on improving the management and substance of future HICD and partial-HICD interventions deriving from the above.

Tasks

1. Evaluation of progress in relation to the initial project objectives made in 3 selected target institutions that FORECAST has provided HICD and partial-HICD support for.

- Describe the present level of institutional performance of the target institutions:
 - Describe an overview of progress made in relation to the original objectives of respective intervention packages in 3 selected target institutions;
 - Provide an overall overview of the degree to which the target institutions use the newly developed and established work processes, systems, structures and policies.
- Where appropriate, identify any barriers that have hindered the target institutions from achieving the initial objectives;
- Indicate the key internal and external factors responsible for either success or failure with a description of respective lessons to be learnt;
- Assess the degree and likelihood of sustainability of FORECAST assistance with a view to the performance of the institution following the completion of FORECAST support.

2. Evaluation of the relevance of FORECAST methodology of providing HICD services and interventions and monitoring their effectiveness (including the FORECAST PMP) in relation to the project objectives.

Areas to explore:

- Assess the relevance of FORECAST assistance in relation to observed progress as captured under objective 1;
- Review the extent to which the HICD services, interventions and methodology are perceived as effective by the target institutions;
- Review the level of effectiveness and relevance of the current administrative procedures, as well as the existing institutional performance measurement system for the program (the FORECAST PMP);
- Identify the aspects of the administrative procedures used that are unduly labor-intensive or time-consuming and, therefore, least effective in terms of achieving the intended objectives;

- Review the extent to which FORECAST has ascertained an appropriate balance between the roles of international and local consultants in relation to the progress achieved;

3. Recommendations on improving the management and substance of future HICD and partial-HICD interventions deriving from the above.

Areas to explore:

- Identify those critical factors of success or failure of the evaluated interventions (institutional, individual, financial, etc.) that need to be taken into account in future programs;
- Indicate how some of the best practices established in FORECAST's successful interventions can be drawn on in future programs;
- Identify main areas for improving the currently used HICD services, methodology and tools and provide respective recommendations;
- Provide recommendations for a more practical of the PMP as an effective performance measurement system;
- Provide ideas for ensuring sustainability of HICD interventions;
- Indicate any possible risk factors or critical assumptions to be taken into account in future interventions.

Methodology

The evaluators, in collaboration with USAID/Caucasus-Georgia, will finalize the overall evaluation methodology prior to their arrival in Georgia (before June 7, 2010). Given the nature of FORECAST activity most of the data produced could be qualitative but the evaluators will be encouraged to provide quantitative data where possible. A standard questionnaire will be developed by the evaluation experts prior to the start of the fieldwork. It will be used for all institutions evaluated. In addition, the evaluators will draw on open-ended qualitative questions specific to each institution's experience.

The mission expects that, at a minimum, the evaluators will:

- Review and analyze the relevant project documentation (IRFs, IIPs, monitoring reports, weekly activity reports, annual reports). These will be provided in advance to the start of the fieldwork as part of the preparation stage;
- Conduct workplace visits;
- Meet and interview a) the supervisors and key management staff, b) customers and clients, and c) other stakeholders (donor agencies, CSOs, media, etc.) as deemed relevant;
- Meet and consult relevant mission teams;
- Meet local service providers.

A list of target institutions to be evaluated will be provided at a later stage. Given the time constraints it is proposed to evaluate only three interventions. They will be selected as per the mission's perception of their effectiveness (i.e. a successful intervention, an unsuccessful intervention and an intervention with no ostensibly negative or positive outcomes).

The evaluators will also work with the mission to develop a list of illustrative questions referring to respective areas for exploration under the **TASKS** section.

Logistics/Translator/Administrative Staff:

Logistics will be set up in advance of the field work. Meetings will be set up in advance of the arrival of the evaluators. One interpreter will be required to accompany the evaluator, arrange meetings, organize transportation, and interpret as necessary.

Deliverables

The final report including:

An Executive Summary – (2-3 pages) containing a clear, concise summary of the most critical elements of the report, including the recommendations.

Table of contents.

An evaluation report (no more than 15 pages) including major findings and related issues and questions.

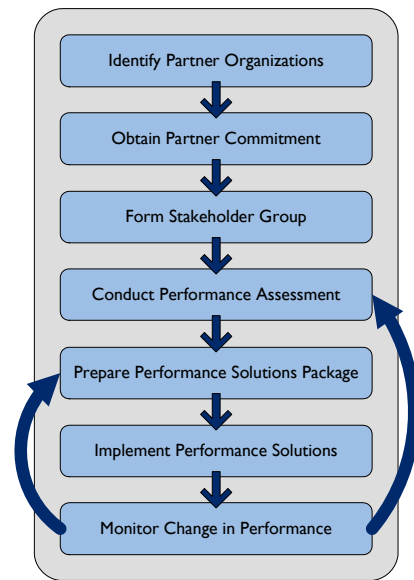
Appendices (the statement of work; the list of documents reviewed; the list of meetings held).

APPENDIX B. THE HICD PROCESS

The HICD Process

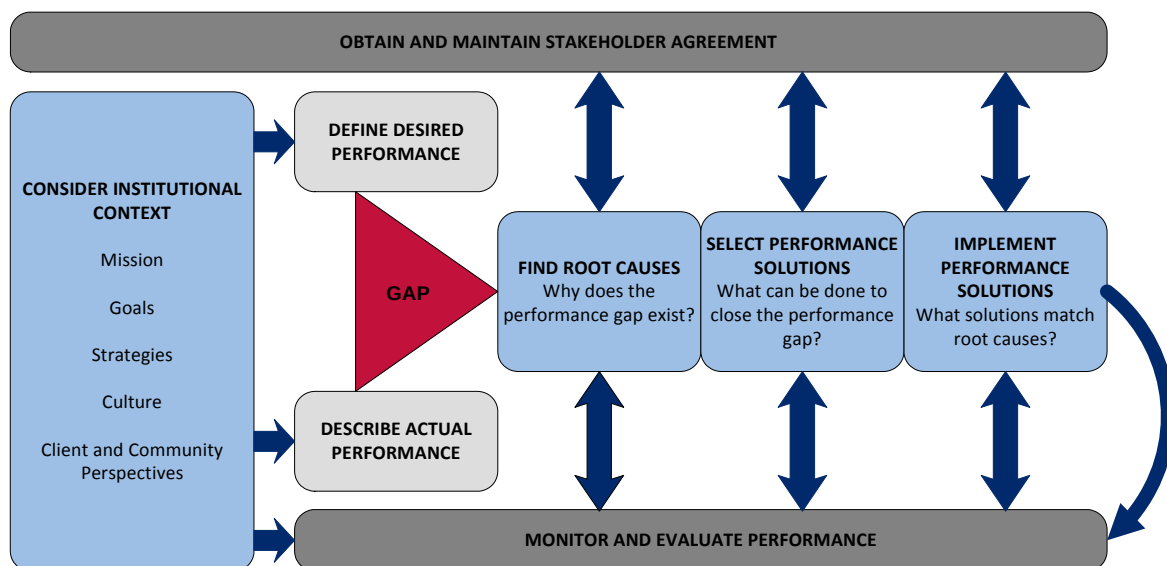
Human and Institutional Capacity Development (HICD) encompasses several methodological approaches. The process includes components to place performance in the context of transitioning country, the Performance Improvement model, and performance monitoring (ex: the Balanced Scorecard model); other models and methods of improving institutional performance improvement can also be incorporated as supplementary tools to arrive at the best improved performance.

A major HICD framework is based on the Performance Improvement (PI) model developed by ISPI, which provides a systematic process for analyzing and improving performance. The HICD process allows Missions to focus on strengthening partner organizations that are key to achieving the Mission's strategic goals and assisting these organizations to integrate/institutionalize a continuous cycle of performance improvement processes to ensure continued success in future performance cycles. The process is depicted in the figure to the right.



Updated Behavioral Engineering Model & Performance Improvement (PI) Model

The Updated Behavioral Engineering Model was developed by ISPI in order to identify and categorize the factors that affect organizational performance. It consists of six factors that are divided into individual and environmental factors.



The ISPI Performance Improvement model is a systematic process that involves eight distinct steps for analyzing and improving performance:

1. Consider the institutional context of the performance problem and get stakeholder agreement.
2. Define desired performance in measurable terms if possible.
3. Describe actual performance.
4. Measure or describe performance gap.
5. Find the root causes of the performance gap.
6. Select intervention.
7. Implement performance solutions (interventions).
8. Monitor and evaluate performance.

Updated Behavior Engineering Model

ENVIRONMENTAL	<u>Information</u> • Roles and performance expectations are clearly defined; employees are given relevant and frequent feedback about the adequacy of performance. • Clear and relevant guides are used to describe the work process. • The performance management system guides employee performance and development.	<u>Resources and Tools</u> • Materials, tools, expert support, and time needed to do the job are present. • Processes and procedures are clearly defined in reference documentation. • Overall physical and psychological work environment contributes to improved performance; work conditions are safe, clean, organized, and conducive to performance.	<u>Incentives</u> • Financial and non-financial incentives are present; measurement and reward systems reinforce positive performance. • Jobs are enriched to allow for fulfillment of employee needs. • Overall work environment is positive, where employees believe they have an opportunity to succeed; career development opportunities are present.
INDIVIDUAL	<u>Knowledge and Skills</u> • Employees have the necessary knowledge, experience and skills to do the desired behaviors. • Employees with the necessary knowledge, experience and skills are properly placed to use and share what they know. • Employees are cross-trained to understand each other's roles.	<u>Capacity</u> • Employees have the individual capacity to learn and do what is needed to perform successfully. • Employees are recruited and selected to match the realities of the work situation. • Employees are free of emotional limitations that would interfere with their performance.	<u>Motives</u> • Motives of employees are aligned with the work and the work environment. • Employees desire to perform the required jobs. • Employees are recruited and selected to match the realities of the work situation.

The PI model allows for a comprehensive analysis of organizational performance based on the performance factors identified in the Updated Behavioral Engineering Model. Through use of the model, appropriate performance solutions can be designed depending on which of the six performance factors lie at the root causes of performance gaps.

Performance Management Systems

A hallmark of HICD is its results-oriented nature. In order to gauge the success of an HICD project, it is important to establish measurable performance goals for each area of

performance targeted through the HICD initiative. If a baseline of performance data does not already exist, the HICD contractor should work with the partner organization, as part of the HICD initiative, to establish some form of performance scorecard.

Institutionalizing a performance scorecard enables an organization to regularly monitor performance in critical areas that are leading indicators of the organization's overall performance success. A comprehensive scorecard establishes performance measures at every level of performance: individual worker level, process level, and organizational level with indicators at each level rolling up to the next highest level and ultimately providing a consolidated performance report card for senior managers to use in planning strategies and allocating the organization's resources to meet needs with the highest priority.

Policy

It is USAID policy to integrate a HICD approach when conducting regional, country, or sector strategic planning and when designing new developmental activities. Regional and pillar bureaus must address the integration of HICD when approving USAID-specific regional, country, or sector strategic plans.

For more information please refer to the HICD Policy Paper, a mandatory reference to Agency policy ADS chapter 201.

Mechanisms

Offered through EGAT/ED, Focus On Results: Enhancing Capacity Across Sectors In Transition (FORECAST) consists of two 5-year IQC contracts offering a fully integrated, flexible package of cross-cutting services for HICD, including the next generation of Participant Training (PT). FORECAST is implemented by The Academy for Educational Development and World Learning for International Development. USAID/Georgia's HICD activities are implemented by World Learning (WL).

One way to achieve sustainability in its programs is for USAID to increasingly focus its development assistance efforts on strengthening the abilities of its host country partner organizations that are in a position to effect change or have a central role in delivering commodities and services to the actual host country end users. FORECAST reflects the evolution of traditional participant training into a more holistic capacity development approach by providing a full range of HICD services focused on providing targeted interventions to address performance gaps within USAID partner organizations.

Implementation Guidance

The HICD chapter of the FORECAST Practitioner's Handbook was developed by the Bureau for Economic Growth, Agriculture and Trade (EGAT) to help USAID integrate HICD into its development assistance programs. It provides information on the

evolution of HICD, implementation guidance, and tools for implementing HICD initiatives.

HICD can be integrated into USAID programs at any point in a Mission's strategic planning cycle. For Missions at the beginning of the strategic planning cycle, a Cross-Sector Assessment may be used to integrate HICD into the Mission strategy, programs, and activities. If introduced mid-cycle, HICD may be used to complement ongoing initiatives or provide support to partners not already directly benefiting from other Mission activities.

APPENDIX C. MEETINGS HELD

Evaluation of USAID/Georgia FORECAST Program Evaluation Team Schedule

Week of October 25 – 30

Monday

10.00-12.00: Evaluation Team meeting at the Radisson Hotel

13.00-14.00: Evaluation Team meeting: with the USAID Program office

14.00-14.30: Evaluation Team meeting: with the USAID Mission Director and Deputy Mission Director.

15.00 onwards: Meetings at WL

- ✓ World Learning Office Staff Group Meeting -- **Jeff/Ivica/George**
- ✓ World Learning Country Director -- **Jeff**
- ✓ World Learning Deputy Director for Programming -- **Ivica/George**

Tuesday

9:00AM-9:45AM: Evaluation Team Group Meeting (Radisson)

- ✓ World Learning Program Officers

Time	Evaluators	Institution	Program Staff	Comments
10:00AM-11:00AM	(Ivica/George)	TSU	Eka Leonidze/Roman Tsustkiridze	The program staff assigned for this program has left WL
	Jeff/David	GHA	Sopo Motsonelidze	
11:45AM-12:45PM	(Ivica/George)	NEAC	Tako Toroshelidze / Roman Tsutskiridze	The program staff assigned for this program has left WL
	Jeff/David	MEPNR	Eka Leonidze	FORECAST staff working on PA has left
2:00PM-2:45PM	(Ivica/George)	HIMS	Sopo Motosonelidze	
	(Jeff/David)	NAEC	Eka Leonidze / Roman	The program staff assigned for this

			Tsutskiridze	<i>program has left WL</i>
3:30PM-4:30PM	(Ivica/George)	MRA	Eka Leonidze/Roman Tsustkiridze	<i>The program staff assigned for this program has left WL</i>
	Jeff/David	ESIDA	Sopo Motsonelidze	

Wednesday

9:00AM-9:45AM: Evaluation Team Group Meeting (Radisson)

✓ World Learning Program Officers (continued from Tuesday)

Time	Evaluators	Institution	Program Staff	Comments
10:00AM-11:00AM				
	Jeff/David	ISSET	Tako Toroshelidze /Roman Tsutskiridze	<i>The program staff assigned for this program has left WL</i>
11:45AM-12:45PM	(Ivica/George)	NCDC	Roman Tsutskiridze	
	Jeff/David	Service Agency	Eka Leonidze	
2:00PM-2:45PM	(Ivica/George)	GAC	Roman Tsutskiridze / Dea Pagava	
3:30PM-4:30PM	(Ivica/George)	NBG	Roman Tsutskiridze	

Thursday

9:00AM-9:45AM: Evaluation Team Group Meeting (Radisson)

✓ World Learning Program Officers (continued from Tuesday and Wednesday)

Time	Evaluators	Institution	Program Staff	Comments
10:00AM-11:00AM	Jeff/David	KCUH	Roman Tsutskiridze	
11:45AM-12:45PM	Jeff/David	MSPA&MFOA	Roman Tsutskiridze	

✓ Focus Institution meetings

Time	Evaluation Team	Institution	Meeting with	Comments
11:00-12:00	(Ivica/George)	NCEQ	David Kereselidze	Address: 1, Merab Aleksidze Str.
16:00 – 17:00	(Ivica/George)	MRA	Valeri Kopaleishvili	Address: 15a, Tamarashvili Street

Friday

9:00AM-9:45AM: Evaluation Team Group Meeting (Radisson)

10:00AM-11:00AM: WL Program Officers, re: paperwork/reporting -- **Jeff**

✓ Focus Institution meetings (continued from Friday)

Time	Evaluation Team	Institution	Meeting with	Comments
10:00 – 11:00	(Ivica/George)	MRA	Paul Mackintosh from DRC	Address: 15a, Tamarashvili Street
13:00-14:00	(Ivica/George)	MRA	UNHCR	TBD

14.00-15.00 Meeting with Joakim Parker, Deputy Mission Director -- **Jeff/David**

15:00-16:00 Mid-Evaluation Meeting with Program Office

16:00-16:30 Evaluation Team Group Meeting (at Mission)

Saturday

- ✓ Evaluation Team Work
 - o report outline finalized
 - o desk review assignments on schedule
 - o report components in draft

Week of November 1 – 5

Monday

✓ Focus Institution meetings (continued from Friday)

Time	Evaluation Team	Institution	Meeting with	Comments
10:00 - 11:00	Jeff/David	ISSET	Eric Livney	Address: 16, Zandukeli St.

12.45 – 13.30: Evaluation Team Group Meeting (Mission)

13.30 - 15.00: Meeting with Medea Kakachia (HSD), focal point for TSU, NEAC, NAEC, ESIDA and Service Agency:

16.00 - 17.00 Meeting with George Khechinashvili (HSD) focal point for HMS, GHA and KCUH

Tuesday

✓ Focus Institution meetings (continued from Friday and Monday)

Time	Evaluation Team	Institution	Meeting with	Comments
10:00-11:00	Jeff/David/Ivica	IQC Category I Local Partners	UNA-Georgia	Address: Dolidze 2, floor 4
12:00-13:00	Jeff/David/Ivica	IQC Category I Local Partners	Partners Georgia	Address: Paliashvili 11b
14:00-15:00	Jeff/David	NAEC	Giorgi Martashvili (899 28 90 44)	Address: 60, Iv. Javkhishvili Street

Wednesday

✓ Other donors and stakeholders

Time	Evaluation Team	Institution	Meeting with	Comments
11:00AM-12:00PM	Jeff/David/Ivica	IQC Category I Local Partners	ARC	Address: Dolidze 2, floor 4 (<i>interpreter needed</i>)

Thursday

9.30 - 10.30: Meeting with EG team (Douglas Balko, Revaz Ormotsadze and Nino Metreveli), to discuss GAC, ISET, Bank of Georgia projects and also future synergies between EG and FORECAST on some key projects (EPI, NEO)

11.00 - 12.00: Meeting with DG team (Michelle Logsdon, George Vashakidze and Khatuna Khvichia) to discuss MSPA/MOFA and also future synergies with DG projects (e.g. G3)

14.00 - 15.00: Meeting with Tamara Sirbiladze (HSD) to discuss the NCDC project

*15.00-15.45: Meeting with Jill Kelley, Director of Energy and Environment (E&E) Office

Friday

15.30-16.30: Mission-wide debrief – **Jeff/Ivica/George/Davi**

APPENDIX D. INSTITUTIONS STUDIED

FORECAST FULL HICD PROGRAMS

Tbilisi State University: The goal of the Tbilisi State University (TSU) HICD program was to contribute to TSU's transition to an independent, self-financed and sustainable institution through the establishment of decentralized administrative and management structures and the development of a business plan for the university. The program commenced in July 2008 with performance assessment activities carried out by a team of international performance assessment consultants, with the support of the local field of activity expert and three representatives from the local FORECAST partner consortium.

National Education Accreditation Center: The goal of the National Education Accreditation Center (NEAC) HICD program was to improve the overall performance of the center in meeting its short- and medium-term goals in further developing the general education accreditation system and service delivery (training schools in self-assessment and training of external evaluators in evaluation methodologies). The performance assessment of NEAC was carried out in two phases (July and October, 2008) by the international performance improvement consultants together with the FORECAST local partner organization.

National Assessment and Examination Center: The goal of the NAEC program was to improve the overall performance of the NAEC in meeting its short- and medium-term goals of further developing and rolling out the general graduate examination, and building their organizational capacities through the introduction of management tools and techniques that would allow the institution to better cope with its expanding organizational mandate and workload, including the development of clear job descriptions, a performance system, and professional development mechanisms for staff.

Ministry of Environment Protection and Natural Resources: The performance assessment and TA activities at the Ministry of Environment Protection and Natural Resources (MEPNR) aim to define management and programming gaps, to provide technical assistance to strategically plan for and address those gaps, and to recommend an intervention package to address priority performance shortcomings/gaps.

Municipal Service Providers Association and Municipal Finance Officers Association: The goal of the MSPA & MFOA HICD program is to improve the overall performance of the associations in meeting their short- and medium-term goals. The first phase of the program, assessment and the technical assistance, aimed to define management and programming gaps at the MSPA and MFOA, to provide technical assistance to strategically plan for and address those gaps, and to recommend an intervention package to address priority performance shortcomings/gaps.

Ministry of Refugees and Accommodation: The long-term TA at MRA started in February 2009 and one component of the program is still in progress. The overall goal of the program is contribute to building the capacities of the MRA in responding to the immediate needs of the IDP population from the recent conflict.

National Center for Disease Control: The objective of the NCDC performance assessment and technical assistance was to define performance gaps at the center, and to provide technical assistance to strategically plan for and address these gaps. The activity was conducted by a team of international and local consultants in November 2009 and January 2010. Although it was initially planned that the performance assessment would be followed by the development of an intervention package based on the recommendations provided by the assessment provider, it has been decided to cancel all further activities related to this program. This recommendation came as a direct result of the performance assessment, followed by a serious lack of understanding and cooperation on the part of the target institution. According to the final assessment report, as well as FORECAST's observation, NCDC, as currently managed, is indeed unwilling and unable to absorb any future FORECAST assistance. This is due to the leadership of the institution's almost absolute reluctance to consider a) the potential that change may be needed at the institution, and b) even the most basic level of engagement with the FORECAST program over potential institutional development and capacity-building activities.

Persons with Disabilities, Elders and Orphanages Service Agency at the Ministry of Labor, Health and Social Affairs: The overall goal of the Service Agency HICD program is to establish a well-functioning and well-known entity capable of engaging individuals, businesses, sponsor organizations and communities in protecting and assisting vulnerable children, and adults with special needs.

Georgian Hospital Association: The GHA HICD program aims to produce a strong strategy and a road map that will calibrate its strategic objectives with its tactical operations, the necessary funding levels and sources of funds, and the right organizational structure. Such strategy and the road map would create the basis on which the GHA programs will be built and executed over a foreseeable future.

OUTSTANDING PARTIAL-HICD PROGRAMS AND TA's

Georgian Accreditation Center: The GAC partial-HICD program aimed to facilitate the pre-conditions for the successful integration and recognition of a Georgian accreditation and (eventual) certification regime for good bound for international markets.

National Bank of Georgia, HR Department: The goal of the program was to assist the National Bank of Georgia (NBG) to strengthen (and where appropriate develop) its HR management systems. The activity was conducted by a team of international and local experts

from November 2008 to February 2009. As a direct result of the program, the NBG HR Policy Manual has been developed, together with the organizational HR matrix, job descriptions and other HR documents. The program is completed and closed out.

Kipshidze Central University Hospital: The goal of the KCUH partial-HICD program was to create a standardized hospital employee recruitment and performance appraisal system for professional and technical staff. The program represented a two-stage activity, where the first one, implemented in May 2008, was an institutional assessment of the hospital, and the second – TA and training (March-April 2009), resulted in development of the medical staff bylaws, KCUH draft policies and procedures, the key position descriptions, and the sample performance appraisal framework. The program is completed and closed out

International School of Economics: The goal of the partial-HICD program was to contribute to the growth and sustainability of ISET as a premiere economic institute of higher learning in the Caucasus. The program is completed and closed out.

Health Insurance Mediation Service: The goal of the partial-HICD program is to support HIMS in achieving optimal operating efficiency for delivering mediation services and information to the population.

Educational and Scientific Infrastructure Development Agency: The program aims to improve the general education infrastructure and ensure a more fair, transparent and fact-based decision making process in school construction and infrastructure rehabilitation in Georgia according to modern standards.

APPENDIX E. DOCUMENTS REVIEWED

The **DOCUMENT CATEGORY** column refers to documents requested by the evaluation team.

The **FILE NAMES** column refers to documents received and reviewed by the evaluation team.

FORECAST Georgia	
DOCUMENT CATEGORY	FILE NAMES
Contractor Quarterly Reports	FY 2008 FORECAST Quarterly Report 1 FY 2008 FORECAST Quarterly Report 2 FY 2009 FORECAST Quarterly Report 1 FY 2009 FORECAST Quarterly Report 2 FY 2010 FORECAST Quarterly Report 1 FY 2010 FORECAST Quarterly Report 2
Contractor Annual and Semi-Annual Reports	FY 2008 FORECAST Annual Report FY 2008 FORECAST Semi-Annual Report FY 2009 FORECAST Annual Report FY 2009 FORECAST Semi-Annual Report FY 2010 FORECAST Annual Report FY 2010 FORECAST Semi-Annual Report
Contractor Operations Manual (for FORECAST local office)	FORECAST OPERATIONS MANUAL (revised 07-25-08).doc
Other information or documentation	FORECAST Activity-Level PMP (4-10).doc

Educational and Scientific Infrastructure Development Agency (ESIDA)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING ESIDA.doc
Solutions (interventions) Package	3. IIP ESIDA Intervention I.doc 6. IIP ESIDA Intervention II.doc 7. ESIDA Intervention II Final Report.pdf 8. ESIDA Intervention II Final Report. Appendix A-G.pdf 12. IIP ESIDA Intervention III.doc 13. ESIDA Intervention III Final Report.pdf
Contractor procurement documentation for outsourcing solutions (interventions)	2. IRF ESIDA.doc 5. RecMemo ESIDA Intervention II.doc 9. RFP ESIDA Intervention III (international experts).doc

	10. RFP ESIDA Intervention III (local experts).doc 11. RecMemo ESIDA Intervention III.doc
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Georgian Hospital Association (GHA)	
DOCUMENT CATEGORY	FILE NAMES
Solutions (interventions) Package	5. GAC Component III Final Report.doc 6. GAC Component III Final Report. Annex I.DOC 7. GAC Component III Final Report. Annex II.doc 8. GAC Component III Final Report. Annex III.doc 9. GAC Component III Final Report. Annex IV.doc
Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF - IP GAC Components I and II.doc 2. IRF GAC Component III.doc 3. RFP GAC Component III.doc 4. RecMemo GAC Component III.doc

Health Insurance Mediation Service (HIMS)	
DOCUMENT CATEGORY	FILE NAMES
Solutions (interventions) Package	4. IIP HIMS Intervention I.doc 5. IIP HIMS Intervention II.doc
Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF HIMS.doc 2. RFP HIMS Intervention I.doc 3. RecMemo HIMS Intervention I.doc

International School of Economics at Tbilisi State University (ISET)	
DOCUMENT CATEGORY	FILE NAMES
Solutions (interventions) Package	4. IIP ISET Component I.doc 5. ISET Comp I Final Report.doc 6. ISET Comp I Final Report. ISET Business Plan.doc 7. ISET Comp I Final Report. Strategic Options for ISET - A Discussion Document.doc 8. ISET Comp I Final Report. Strategic Plan.doc 9. ISET Comp I Final Report. Transition.doc 13. IIP ISET Comp II.doc 14. ISET Comp II Final Report.doc 15. IRF-IP ISET Comp III Workshop on USAID Rules and Regulations.doc

Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF ISET.doc 2. RFP ISET Comp I.doc 3. RecMemo ISET Comp I.doc 10. RFP ISET Comp II International Expert.doc 11. RFP ISET Comp II Local Expert.doc 12. RecMemo ISET Comp II.doc 15. IRF-IP ISET Comp III Workshop on USAID Rules and Regulations.doc
FORECAST PMP	16. PMP - ISET Component I.xls 17. PMP - ISET Component II.xls

Kipshidze Central University Hospital (KCUH)	
DOCUMENT CATEGORY	FILE NAMES
Contractor procurement documentation for outsourcing performance assessment	1. PAR KCUH.doc
Performance Assessment (PA) report	2. KCUH Assessment Final Report.doc 3. KCUH Assessment Final Report Presentation.ppt
Solutions (interventions) Package	7. IIP KCUH TA.doc 8. KCUH TA Final Report.doc
Contractor procurement documentation for outsourcing solutions (interventions)	4. IRF KCUH TA.doc 5. RFP KCUH TA.doc 6. RecMemo KCUH TA.doc

Ministry of Environment Protection and Natural Resources (MEPNR)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MOU MEPNR.doc
Stakeholder group formation documentation	2. Stakeholder Group MEPNR.doc
Contractor procurement documentation for outsourcing performance assessment	3. PAR MEPNR.doc 4. RFP PA and TA MEPNR.doc 5. RecMemo PA and TA MEPNR.doc
Performance Assessment (PA) report	6. MEPNR Assessment Final Report.pdf 7. MEPNR Assessment Final Report. Work Processes.doc
Solutions (interventions) Package	8. Intervention Package MEPNR.doc 10. IIP MEPNR Intervention I. Workshop.doc 9. MEPNR PA and TA Final Report. Appendix1.xls 11. MEPNR PA and TA Final Report. Appendix2.ppt 12. MEPNR PA and TA Final Report. Appendix3.ppt

Contractor procurement documentation for outsourcing solutions (interventions)	13. RFP MEPNR Intervention II.doc 14. RFP MEPNR Intervention IV.doc
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Ministry of Refugees and Accommodation (MRA)	
Phase 1	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING - MRA.doc
Contractor procurement documentation for outsourcing performance assessment	2. IRF - MRA Inst.Assessment and TA (Phase I).doc 3. TOR TA International TA Expert (Phase I).doc 4. TOR Local Project Officer (Phase I).doc
Performance Assessment (PA) report	6. MRA Phase I Final Report.doc
Solutions (interventions) Package	5. IIP MRA Inst.Assessment and TA (Phase I).doc 6. MRA Phase I Final Report.doc
Phase 2	
DOCUMENT CATEGORY	FILE NAMES
Solutions (interventions) Package	6. IIP MRA IT Strategy.doc 11. IIP MRA Communications Strategy.docx 12. Final Report MRA Communications Strategy.pdf 13. MRA Communications Strategy Attachment #1.pdf 14. MRA Communications Strategy Attachment #2.pdf 15. MRA Communications Strategy Attachment #3.pdf 19. IIP MRA HR Management.doc 20. Final Report MRA HR Management.doc
Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF-IIP MRA TA II.doc 2. MRA TA II Final Report.doc 3. IRF MRA IT Strategy.doc 4. RFP MRA IT Strategy.doc 5. RecMemo MRA IT Strategy.doc 8. IRF MRA Communications Strategy.doc 9. RFP MRA Communications Strategy.doc 10. RecMemo MRA Communications Strategy.doc 16. IRF MRA HR Management.doc 17. RFP MRA HR Management.doc 18. RecMemo MRA HR Management.doc
FORECAST PMP	21. PMP - MRA HR.doc 22. PMP - MRA TA.doc 23. PMP - MRA Communications Strategy.xls

	24. PMP - MRA Database.xls
Phase 3	
DOCUMENT CATEGORY	FILE NAMES
Solutions (interventions) Package	2. MRA III TA III Final report (Confidential for USAID).doc 5. IIP MRA III Restructuring.doc 6. MRA III Restructuring Final Report.doc 7. IIP MRA III Legal Department.doc 10. IIP MRA III Legal Department.doc 11. MRA III Legal Department Final Report.doc 14. IIP MRA III Finance Department TA.doc 15. MRA III Finance Department TA Final Report.doc 16. IIP MRA III Finance Manegement Training.doc
Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF MRA TA III.doc 3. RFP MRA III Restructuring.doc 4. RecMemo MRA III Restructuring.doc 8. RFP MRA III Legal Department.doc 9. RecMemo MRA III Legal Department.doc 12. RFP MRA III Finance Department TA.doc 13. RecMemo MRA III Finance Department TA.doc
Institutional Performance Data	
FORECAST PMP	17. PMP MRA III.doc 18. PMP MRA III Legal Department.doc 19. PMP MRA III Finance Department.doc

Municipal Service Providers Association (MSPA) and Municipal Finance Officers Association (MFOA)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING - MFOA and MSPA.doc
Contractor procurement documentation for outsourcing performance assessment	2. PAR - MFOA and MSPA.doc 3. RFP - PA and TA at MSPA and MFOA.doc 4. RecMemo PA and TA - MFOA MSPA.doc
Performance Assessment (PA) report	5. MSPA and MFOA FocusGroups Report.doc

Solutions (interventions) Package	8. MSPA and MFOA Intervention Package - IIP Intervention I (MSPA).doc 9. MSPA and MFOA Intervention I (MSPA) Final Report.doc 10. MSPA and MFOA Intervention Package Intervention II (MFOA).doc 13. IIP Intervention II (MFOA).doc 14. MSPA and MFOA Intervention Package Intervention III(MSPA).doc 17. IIP Intervention III (MSPA).doc
Contractor procurement documentation for outsourcing solutions (interventions)	11. RFB Intervention II (MFOA).doc 12. RecMemo Intervention II (MFOA).doc 15. RFP Intervention III (MSPA).doc 16. RecMemo - Intervention III (MSPA).doc
FORECAST PMP	18. PMP - MSPA.doc 19. PMP - MFOA.doc

National Assessment and Examination Center (NAEC)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING NAEC.doc
Stakeholder group formation documentation	2. Stakeholder Group NAEC.doc
Contractor procurement documentation for outsourcing performance assessment	3. PAR NAEC.doc 4. RFP NAEC PA.doc 5. RFP NAEC FoA.doc 6. RecMemo NAEC.doc 7. Revised Budget NAEC PA.doc
Performance Assessment (PA) report	8. NAEC PA Final Report.pdf 9. NAEC PA Final Report. Annex 4.pdf 10. NAEC PA Final Report. Annex 6.pdf 11. NAEC PA Final Report. Annex 11.pdf 12. NAEC PA Final Repor. All other annexes.pdf
Solutions (interventions) Package	13. Intervention Package NAEC.doc 14. IIP NAEC Intervention I.rtf 15. NAEC Intervention I Final Report.doc
FORECAST PMP	16. PMP - NAEC.xls

National Bank of Georgia (NBG)	
DOCUMENT CATEGORY	FILE NAMES

Solutions (interventions) Package	4. IIP NBG.doc 5. NBG Final Report (International Service Provider).doc 6. NBG Final Report (Local Service Provider).doc
Contractor procurement documentation for outsourcing solutions (interventions)	1. IRF NBG.doc 2. RFP NBG.doc 3. RecMemo NBG.doc

National Center for Disease Control (NCDC)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING NCDC.doc
Contractor procurement documentation for outsourcing performance assessment	2. PAR NCDC.doc 3. RFP NCDC.doc 4. RecMemo PA NCDC.doc
Performance Assessment (PA) report	5. NCDC PA Final Report - Cover.doc 6. NCDC PA Final Report. Section 1. PMP.doc 7. NCDC PA Final Report. Section 2 - Conclusions and Recommendations.doc 8. NCDC PA Final Report. Section 3a - NCDC Org Chart.pdf 9. NCDC PA Final Report. Section 3b - Organizational Structure, Focus Group Results.doc 10. NCDC PA Final Report. Section 3c - NCDC Structure modified.doc
Solutions (interventions) Package	6. NCDC PA Final Report. Section 1. PMP.doc 7. NCDC PA Final Report. Section 2 - Conclusions and Recommendations.doc

National Education Accreditation Center	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING - NEA.doc
Stakeholder group formation documentation	2. Stakeholder group NEA.doc
Contractor procurement documentation for outsourcing performance assessment	3. PAR NEA.doc 4. RFP NEA (PA).doc 5. RecMemo NEA (PA).doc 6. Revised budget (includes revised budget for the

	TSU project).pdf
Performance Assessment (PA) report	7. NEAC PA Final Report.pdf 8. NEAC PA Final Report Annex 1-3.ppt 09. NEAC PA Final Report. Annex 4.ppt 10. NEAC PA Final Report. Annex 5.ppt 11. NEAC PA Final Report. Annex 6.ppt 12. NEAC PA Final Report. Annex 7.ppt
Solutions (interventions) Package	13. Intervention Package NEA.doc 14. IIP NEAC Intervention I & II.doc 15. NEA Intervention I&II Final Report.pdf 18. IIP NEAC Intervention III.doc 19. NEA Intervention III Final Report.pdf 22. IIP NEAC Intervention IV.doc 23. NEAC Intervention IV Final Report.doc 26. NEAC Intervention V Final Report.pdf
Contractor procurement documentation for outsourcing solutions (interventions)	16. RFP NEAC Intervention III.doc 17. RecMemo NEAC Intervention III.doc 20. RFP NEAC Intervention IV.doc 21. RecMemo NEAC Intervention IV.doc 24. RFP NEAC Intervention V.doc 25. RecMemo NEAC Intervention V.doc
FORECAST PMP	27. PMP NEA.xls

Persons with Disabilities, Elders and Orphanages Service Agency at the Ministry of Labor, Health and Social Affairs of Georgia	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MOU Service Agency.doc
Contractor procurement documentation for outsourcing performance assessment	2. PAR Service Agency.doc 3. RFP to Local Partners on Service Agency.doc 4. Rec Memo Service Agency.doc

Tbilisi State University (TSU)	
DOCUMENT CATEGORY	FILE NAMES
Partner organization commitment documentation, including memorandums of understanding (MOUs)	1. MEMORANDUM OF UNDERSTANDING - TSU.doc

Stakeholder group formation documentation	2. Stakeholder Group TSU.doc
Contractor procurement documentation for outsourcing performance assessment	3. PAR - TSU.doc 4. RFP TSU PA (PA).doc 5. RFP TSU PA (FoA).doc 6. Rec. Memo TSU PA.doc 7. PAR Budget Revision Request - TSU.doc
Performance Assessment (PA) report	8. TSU PA Final Report.pdf
Solutions (interventions) Package	9. Intervention Package TSU.doc 10. IIP TSU Intervention I and II phase 1.doc 16. TSU Intervention III Final Report.doc 11. IIP TSU Intervention I and II phase 2.rtf 15. IIP TSU Intervention III.rtf
Contractor procurement documentation for outsourcing solutions (interventions)	13. RFP TSU Intervention III.doc 14. RecMemo TSU Intervention III.doc
FORECAST PMP	17. PMP TSU.xls