

Madden Report

FINAL REPORT

Study to Research Evaluation Efforts or
Techniques Related and/or Applicable to HUMINT.

Prepared For: Central Tasking Staff/
HUMINT Tasking Office

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I. Executive Summary

The Conclusions and Recommendations resulting from this study are summarized in the following two sections.

A. General

1. The Intelligence Community must Task - as required by Executive Order.
2. Tasking without assessment is not workable. There would be no rational grounds upon which management could base the necessary decisions regarding the direction of resources to respond to Tasking received or to undertake later retasking in view of results obtained or not obtained.
3. A HUMINT Assessment System (HAS) is necessary in order to support a fully operational HUMINT Tasking System. There is, at present, no assessment system that could support the level of tasking and retasking expected within the next year.
4. However, the experimentation conducted during this special study has established that the basics for a HUMINT Assessment System do exist or could be quickly set in place. These basics are detailed in the following section.

B. Specific

1. The Intelligence Community has in-hand the following with respect to a system for assessment of HUMINT reporting in response to tasking (Tasking Plans):
 - (a) A workable approach to assessment based upon the concept of providing semi-centralized linkages and/or supplementation to existing assessment activities and, where such activities do not exist, providing the entire assessment effort necessary. This semi-centralized approach makes use of existing assessment activities, minimizes duplication of efforts and impacts on customer/consumer time, coordinates and supplements on-going assessment activities, and provides the necessary level of assessment where none currently exists.
 - (b) A tested approach to assessment resulting from the experience obtained by actual, successful use of the semi-centralized approach in experimentation conducted over the past six (6) months related to this study.
 - (c) An acceptable assessment methodology - the customer/consumer interview model. The customer interview model has been tested and refined through several years of use within the DDO. It is an acceptable evaluation/assessment methodology which can be still improved (see Recommendations). The methodology has been further refined and successfully utilized during this special study on an experimental basis.

2. The Intelligence Community needs to:

- (a) Establish a system for the assessment of HUMINT reporting responding to Tasking. In establishing this HUMINT Assessment System the Community should build upon the tested approach (semi-centralized, linkage) and methodology (customer interview) which are in-hand.
- (b) Refine and further define the HUMINT Assessment Systems concepts by completing a formal Evaluability Assessment of the system (Appendix C). In this regard it should be noted that the concepts upon which the HUMINT Assessment System should be developed have already been partially explored during this study:
 - (i) existing HUMINT assessment activities representing potential entities for linkage into the assessment system have been identified and their level of evaluation activity determined (Figure V-1).
 - (ii) the system structure and flow of National Tasking and Response/HUMINT was outlined and measurement points, assessment elements, and assessment actions were determined (Appendix D).
 - (iii) the objectives of HUMINT Response Assessment were refined and set down in writing (Appendix E).
- (c) Provide further evaluation/assessment support for:
 - (i) management decision making related to trade-offs, resource reallocation, "doing more with less".
 - (ii) budgetary preparation and defense with quantification of impacts and results related to resource levels.
- (d) Continue refinement of the Customers Interview Method with specific attention to establishing statistically supportable claims related to the survey results, (through random sampling techniques).

The Intelligence Community has a great deal of work ahead in developing the role and contribution that assessment/evaluation can play in enhancing management decision making and supporting Tasking. However, the basic approaches and methodologies do exist and have been tested. The next step is to bring these basic elements together into an assessment system. A good portion of the preliminary work to establish such a system has been conducted during the course of this experimental study. The remaining and recommended activities are seen as plausible, workable, and positive contributions.

II. Objective of Study - Introduction and Background

The objectives of the study undertaken by Madden, Madden, and Associates, Inc. (MMA) in conjunction with staff of the HUMINT Tasking Office - Assessment Branch (HTO-AB) were: (a) to research evaluation efforts or techniques related to or applicable to intelligence reporting evaluation; (b) to prepare a study that would document and describe such efforts and; (c) if previously or currently utilized, explore the reasons for their respective successes or failures. The research effort would include non-Intelligence Community (IC) departments, agencies, and/or units within its scope in an attempt to discover and consider any evaluation efforts adaptable to IC use. Recommendations regarding on-going and possible IC evaluation techniques, tools, methods, and approaches would be made. The evaluation method(s) for a specific, IC selected area of concern (HUMINT related) would be used as a "demonstration" of the recommendations.

A. Research of evaluation efforts and techniques:

The study would identify and review current evaluation efforts related to HUMINT in the Intelligence Community (IC). Included in the study would be State, Commerce, and other appropriate agencies or departments outside the Intelligence Community. The scope of this "search" would include Federal, non-Federal, governmental, non-governmental, and/or other evaluation efforts that may be applicable to IC evaluation. The search process would include on-site visits and discussions as appropriate.

- (1) A copy of existing documentation or guides for each evaluation effort, if available, would be obtained and filed in a central repository for access by IC evaluation (or interested) staff as appropriate.

- (2) Sample copies of evaluation reports and/or other outputs from evaluation efforts would also be filed.

Note - An appropriate organizational location for such a central file of information on evaluation would be selected.

- (3) The flow of current IC evaluation reporting [source to user(s) of such reporting] would be identified and detailed in appropriate charts.
- (4) Previous IC evaluation efforts would be searched for and, if found, identified as to type of evaluation and pertinent related data (who, where, when, extent of effort, use, users, etc.). Existing documentation and samples, if available, would be obtained and centrally stored.

The Contractor (MMA) would provide during and at the conclusion of the special study project the following tangible products in written and/or briefing or seminar format as indicated:

- (1) Recommendation as to central file and repository for data and documentation concerning evaluation (written, briefing as warranted).
- (2) Listing and identifying current, on-going evaluation efforts (IC and relevant non-IC) - who, where, when, what, extent, contact person, users, etc. The list would refer to available documentation (description, examples, etc.) in the central repository if such was on file (written).
- (3) Listing of previous IC evaluation efforts identified during this research.
- (4) Description (narrative) and chart(s) of source through user(s) of IC evaluation effort reporting.

B. Evaluation of HUMINT evaluation efforts and techniques:

The study would review and evaluate the previous and on-going IC evaluation efforts:

- (1) This review would utilize the framework and concepts regarding evaluation presented in the:
 - Seminar on Evaluating Human Source Intelligence, 11-12 December 1978, Center for the Study of Intelligence, CIA.
 - Seminar on Tools and Techniques for Evaluating Human Source Intelligence, 31 May 1979, Center for the Study of Intelligence, CIA.

The conceptual framework for this review is presented in Part III- (Conceptual Framework for Evaluation) of this report.

- (2) The review would be a positive, constructive critique of the previous and on-going evaluation efforts. It would provide:
- (a) a description of the relationship to the framework for evaluation developed in the above seminars including comments as to variations from the framework and evaluation as to the implications (+ or -) of such variation.
 - (b) an analysis of the reasons for the respective success and/or failure of the efforts; including "lessons to be learned" and concepts that could be fruitfully adapted from others. This would include IC and non-IC evaluation efforts, techniques, and tools.
 - (c) specific recommendations for on-going efforts and suggested organizational adoptions of "other's" strengths. The "other" organizational evaluation efforts considered for adoption would be as wide ranging as possible - not necessarily limited to IC, Federal, or governmental evaluation approaches.
 - (d) recommendations for evaluation would be made for a specific HUMINT reporting area (chosen by the IC) as a "demonstration" of the recommended evaluation efforts.

III. Contractor Qualifications

A. General

Mr. Lynn P. Madden is Senior Consultant and President of Madden, Madden, and Associates, Inc. a management consulting and training firm. Madden, Madden and Associates, Inc. (MMA) has an extensive background in providing training, evaluation, consultation, and organizational and management development services to the public sector. Since its founding in 1971, MMA has:

1. met all objectives of projects undertaken.
2. met all project schedules and deadlines.
3. never exceeded budgeted contract costs.

This is due to the continuous internal application of the management concepts and techniques MMA makes available in services to clients. Since 1971, Madden, Madden and Associates, Inc. has conducted between 85 and 125 seminars per year for public sector organizations. The seminars range from two (2) days to two (2) weeks in duration. MMA specializes in consultation and training of upper and middle management in government organizations, especially at the state and Federal level. MMA conducts seminars and provides consulting services for the states along the east coast, Federal Governmental Agencies, and the United Nations both in New York and Geneva, Switzerland.

B. Related Experience

Assignments undertaken by Mr. Madden that are of direct relevance to this project include:

1. Activity (Effectiveness) Assessment in Government - a 2 day program for middle and upper level management in the concepts and application of evaluation to governmental activities. The program was developed by Mr. Madden and has been conducted for:

- (a) U.S. Civil Service Commission (OPM) - Washington, DC., Boston, St. Louis since 1974. Approximately 10-15 seminars per year have been conducted - 6 are currently scheduled for 1980.
 - (b) United Nations - Geneva, Switzerland since 1977, once per year for upper level UN family (UNDP, ILU, ITO, UN-Secretariat, etc.) management.
 - (c) New York State - Public Service Commission, Department of Health, Department of Social Services.
 - (d) State of Maryland - Department of Human Resources, Management Development Center.
 - (e) Pennsylvania Department of Public Welfare - Boards of Local Assistance.
2. Project Management - 2 to 5 day seminars for project/program managers developed by MMA and conducted for:
 - (a) US Department of Transportation, Transportation System Research Center, Cambridge, Massachusetts.
 - (b) US Naval Weapons Laboratory, Dahlgren, Virginia.
 - (c) US Airforce - MAC, Dover AFB.
 - (d) Department of Transportation State of Maryland.
 - (e) US Civil Service Commission (OPM) - Philadelphia, Boston.
 3. Operations Research Techniques - 2 to 4 day seminars developed and conducted for:
 - (a) OPM - Philadelphia, Boston.
 - (b) New York State Civil Service Department
 - (c) United Nations - Geneva, Switzerland.
 4. Evaluation of Human Source Intelligence - a 2 day seminar conducted at the Center for the Study of Intelligence (11-12) December 1978). The seminar explored concepts of evaluation applicable to HUMINT reporting and the current status of reporting in the Intelligence Community. Participant reactions and recommendations were set forth in a report on the seminar prepared by the Center.
 5. Tools and Techniques for Evaluating Human Source Intelligence - a 1 day workshop conducted at the Center for the Study of Intelligence (31 May 1979). The workshop explored concepts, methods, and tools of evaluation and their application to HUMINT reporting.

As a direct result of the above consulting and training seminars Mr. Madden comes in contact with hundreds of management and professional staff (from different agencies, organizations, and levels of government, private sector firms, and academic) who have a concern with evaluation. Their concern

applications as operating managers. In addition to this on-going contact and interaction, Mr. Madden is actively involved in reading the literature and maintaining a current professional working knowledge in the field of evaluation, assessment of efficiency, and workload standards.

C. Education and Experience

Mr. Madden's formal education and previous experience are also relevant to consultation on evaluation of intelligence reporting:

Education - Bachelor of Electrical Engineering -
Syracuse University
Master of Science, Industrial Administration -
Union College, Schenectady, New York
Master of Business Administration, Public Systems -
Union College

Related
Experience - Engineer - International Business Machines with
project management responsibilities.

Analyst - US Army Reserves, 454 Military
Intelligence Detachment (6 years) -
working at the Pentagon, Arlington Hall,
and CIA Headquarters.

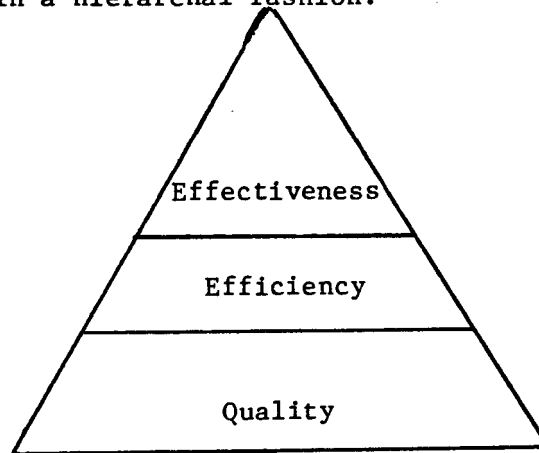
IV. Conceptual Framework For Evaluation

A. Concepts and Terms

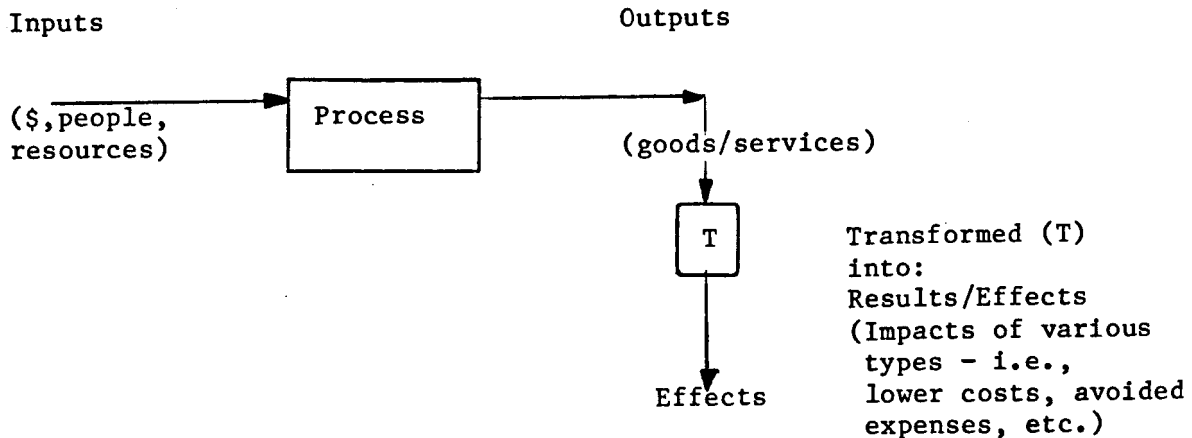
Analysis = future oriented - which alternative/option to choose and why?

Evaluation = present to past orientation - what have we got? How have we done?

Evaluation is concerned with three related, but distinct aspects that "build" upward in a hierarchal fashion:



How these aspects relate can be shown in a general "model" of any activity (field reporting for example) as a flow processing system that "produces" certain goods or services which are then used by end "users/consumers". The consumer use results in certain impacts and/or end effects.



B. Quality

Evaluation of Quality would concern itself with the Output(s):

- definition of output - what is the unit "produced" (goods, service, report)? How will I know an output unit? How will I know a unit of reporting?
- attributes of the output (implicit in the definition of the unit is the concept of "quality" - what perceivable attributes will be taken as making up an acceptable unit of output)? What attributes define an item of reporting?

The attributes that represent "quality" of the output unit should be, but often are not, as specific, measurable, and quantifiable as possible.

The evaluation of quality requires that:

1. The output units (goods and/or services, reporting) be identified and defined: "The manager of the decision unit should include in a statement of objectives information relating to both the services or products to be provided by the decision unit and the contribution of that output to achievement of the principal missions toward which the unit's efforts are directed." [OMB A-115, 5/5/78]
2. Quality measures (attributes) be stated and defined - this is implicit in the definition of the output unit. The attributes should be as quantifiable and objective as possible, however, subjective attributes will often be necessary or unavoidable. Note that the quality measures (attributes) have similar characteristics to objectives and, in fact, may be stated as objectives regarding the unit of output.

Example - It is the agency objective(s) that all field reporting be:

- timely
- reliable information
- valuable
- of useful nature [Ref. DD Form 1480]

Note - To make the above attributes operational as measures of quality they would require:

- further definition or
- selection of (reference to) a "judge".

The "measurement" of the attribute existence can be either:

Objective - by some "instrument" independent of human judgment.

Subjective - the measurement involves human judgment, i.e., the "instrument" is a person (judge) or persons (panel).

Taken together the set of attributes defines the output unit. Any thing (good/service, report) which meets the minimal level of attributes is by definition a unit of output - if it does not, then it is not an output, it is not a report.

The set of attributes used to evaluate quality consists, in most cases, of separate attributes of varying importance to the evaluator or decision maker. There are tools available to determine the relative importance of the attributes to the evaluator.

C. Efficiency

Evaluation of Efficiency concerns itself with the relationship between the Output(s) and Input(s). There are three general categories of efficiency evaluation or assessment:

1. Work Measurement (WM) - relates the human resources (hours, months, years) "consumed" in the production of a unit of output.
2. Unit Cost (UC) - relates the cost of all accountable and allocatable resources to the production of a unit of output.
3. Productivity Index (PI) - relates any "meaningful" measure of output to any measure of input.

Although these three forms of efficiency evaluation may appear in different ways there are only the three basic forms given above.

D. Effectiveness

Evaluation of Effectiveness requires that the "results" and/or "effects" of the outputs be considered. There are, perhaps surprisingly, only three approaches that are available to evaluate effectiveness:

- (a) Numeric ratio - the ratio of measurable results obtained over stated objectives.
- (b) Cost-effectiveness - the ratio of measurable results (in some unit) over the costs of the inputs.
- (c) Benefit-Cost - the ratio of the benefits ("value") of the results over the cost of the inputs.

In cost-effectiveness analysis the stated objectives should be result-related - not output-orientated (often this is not true). Benefit-cost analysis requires the "valuation" (via shadow prices) of both resources (inputs) and the results/ effects "produced" by the outputs. There are two major issues in the evaluation of effectiveness:

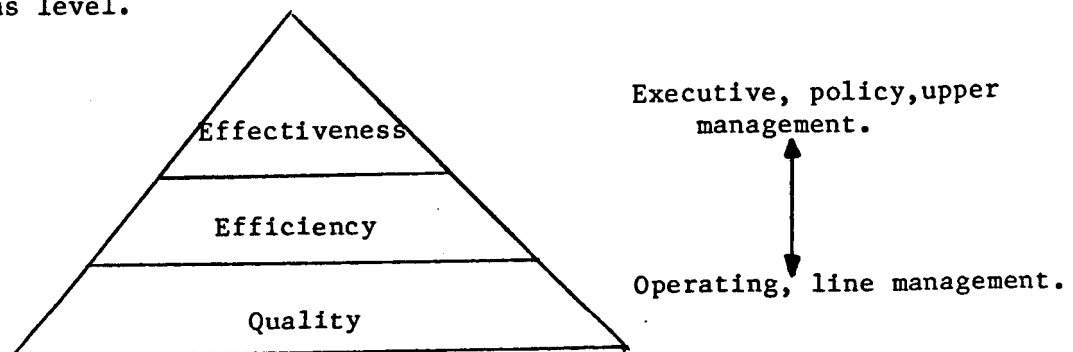
- do your outputs "produce" a result/effect?
- does your effect have "value"?

Approach	Effect?	Value?
Effectiveness Ratio	Yes	No
Cost-Effective	Yes	No
Benefit-Cost	Yes	Yes

Note - In Unit Cost, Cost-Effectiveness, and Benefit-Cost ratios the cost portion does not have to be the all-inclusive cost of all of the inputs. In fact, in most such ratios the costs used are knowingly limited to partial costs (or accepted as not all-inclusive, due to unknown, unallocatable, unmeasurable costs recognized as existing).

E. Evaluation - A Management System

The three aspects of evaluation provide management with different items of information at different organizational levels. Different management levels within the intelligence community would require different evaluation information. However, the provision of such information should be approached through the development of a hierarchically structured, integrated system where each level of evaluation utilizes the evaluation systems, reports, and basic data of the previous level.



V. Research of Evaluation Efforts and Techniques

The study objectives required that evaluation efforts, methods, techniques and tools relevant to HUMINT be explored - both within the IC and in other agencies, departments, governmental, and non-governmental organizations. On-site visits for briefings and interviews were conducted at sixteen (16) IC related entities and five (5) non-IC agencies or departments. On-site visits were supplemented by numerous telephone calls and background readings of related reports, articles, memos, and books.

A. Intelligence Community (IC)

A questionnaire was prepared and distributed as a further supplement to the sixteen (16) on-site interviews conducted during this study (see Appendix A). Written responses to the questionnaires were received from six (6) activities. A total of nineteen (19) separate entities related to HUMINT evaluation within the IC were identified as currently existing (18) or previously existing (1). The 19 entities and related descriptive data are shown in Figure V-1. The key to the descriptive data is included in the Figure (refer to section IV of this report for background and definition of terms). HTO(AB) staff have available specific contact person information (name, telephone, address) for the 18 active groups listed.

B. HUMINT Assessment - HTO(AB)

The evaluation or assessment of HUMINT conducted by the HTO during this study was done through an interface, semi-centralized approach as shown in Figure V-2. The HTO(AB) utilized, to the extent possible, existing assessment efforts. HTO(AB) provided assessment through ad-hoc, supplementary means in those cases where there were no existing efforts. The evaluation was of the quality of the reporting as "measured" subjectively by the user/consumer of

Figure V-1 Survey of HUMINT Assessment Activities:

ACTIVITY	LEVEL OF EVALUATION EFFORT(S)			NATURE	SOURCES	DATA BASE	ENTITY#
	QUALITY	EFFICIENCY	EFFECTIVENESS MARKET				
CIA-DDO:							*
DDO-COMPTR	S(1-1;4)	WH;UC;PI	CTI	TM;PM;BS	H;SS;P	0-2;3;DIVS;I	PMF(M;A) 1
DDO-OPEC	S(1-1;3;4)	WH	-	TM;PM;BS	H;SS;P;OTO	0-3;DIVS;I	FILES(M;A) 2
DDO-FREG	S(1-1;4)	-	CTI;ER	TM;PM;I;BS	H;P;OTO	0	FILES(M;A);PSS 3
NPAC/RES	S(1-1;Q)	-	CTI	TM;PM;I	OTO;N;P	0;I	FILES(M;A);PSS 4
CIA-COMPTR:							*
COMPTR CRP	S(4)	WH;UC;PI	ER;CTI	BS;PM;TM	P;OTO	0-1;2;3	- 5
ANALYSIS CR'	-	(NEW - IN PROCESS OF SET-UP)		BS;PM	OTO;P	I;0	- 6
DIA:							*
DIA-DC3	S(1-1;2;3;4)	WH	ER;CTI	All-see key	H;SS;P;OTO	0-8;PROD	FILES(M;A) 7
DIA-DC4	S(1-Q)	WH;UC;PI	ER;CE;CTI	TM;PM;BS;I	SS;P;H;OTO	0	RIMS(A);PMF 8
DIA/DH-D	S(1;2;4)	WH	ER;CTI	POL	H;SS;OTO	0-PROD	FILES(M) 9
DIA-DP	S	-	ER	TM;PM;BS	H;P	I	FILES(M) 10
RMS	-	PI	CE	TM;PM;BS	OTO;P	0-12	- 11
HTO(AR)	S(1-1)	-	CTI	TM;PM-HTO(TB)	OTO;N(TP)	I;0	FILES 12
TAO	-	-	ER	TM;PM	OTO;N	0-4;11	- 13
FBS	S(1-Q;I;4)	-	-	PM	P;N	I;0-4	FILES 14
NAVY(NIC)	-	(NEW - IN PROCESS OF SET-UP)	-	-	-	-	- 15
STATE(INR)	S(4)	-	-	PM	OTO;N	0	- 16
FOCUS	S(1;2;4)	-	CTI	TM;PM;POL	H;OTO	0-4;11;1661	FILES 17
STATE-WGT O'R S-PANEL	-	(DISCHT-12/78)-	-	PM	H;SS	I-(PANEL)	- 18
CIA-IC STAF'	S(4)	-	-	TM	OTO	0;I-4	- 19

SYMBOL KEY (Reference Figure V-1)

I. Level of Evaluation:

QUALITY: S = Subjectively measured against stated, defined attributes. The measure can be (depending on the instance) obtained from:
 (1) the users/consumers - via interviews (I) or questionnaires (Q);
 (2) a panel of experts.
 (3) a single expert.
 (4) the evaluations done by others
 O = objectively measured vs. stated, defined attributes
 EFFICIENCY:
 WH = Work measurement - output/staff hours
 UC = Unit-cost-output/\$
 PI = Productivity index - output measure/input measure
 EFFECTIVENESS:
 ER = Effectiveness ratio - result/objective
 CE = Cost effectiveness ratio - results/\$
 BC = Benefit-cost ratio - benefits/\$
 CTI = Citation of tangible (measurable) impacts

II. "MARKET" for Evaluation Reporting - an indication of the role or use the evaluation reports are put to (used for) - ie, what type of efforts supported by the evaluation:

TM = Top (director, deputy director level) management having agency level (directorate) responsibility.
 POL = Policy making - the set of upper level executives involved in debating, resolving, and setting policy.
 PM = Program management - the set of managers responsible for a specific program (implementation, operations, direction/redirection, etc.); includes special studies requested by a unit, agency or department.
 BS = Budget - the set of managers and staff involved in budgetary preparation and defense, resource allocation, and fund redirections.
 I = Individual consumer - a single, individual who uses the evaluation reporting to carry out his/her mission; this category includes special studies on a request basis for a single person.

III. NATURE of Evaluation Reporting

N = Narrative reports, little or no "statistical" data included.
 SS = Statistical summarization, tabular/summary data, scales, scalar values, charts, etc.
 P = Periodic in nature, written/produced at regular scheduled intervals.
 OTO = One-Time-Only written for a specific need, in response to a particular request for evaluation data.

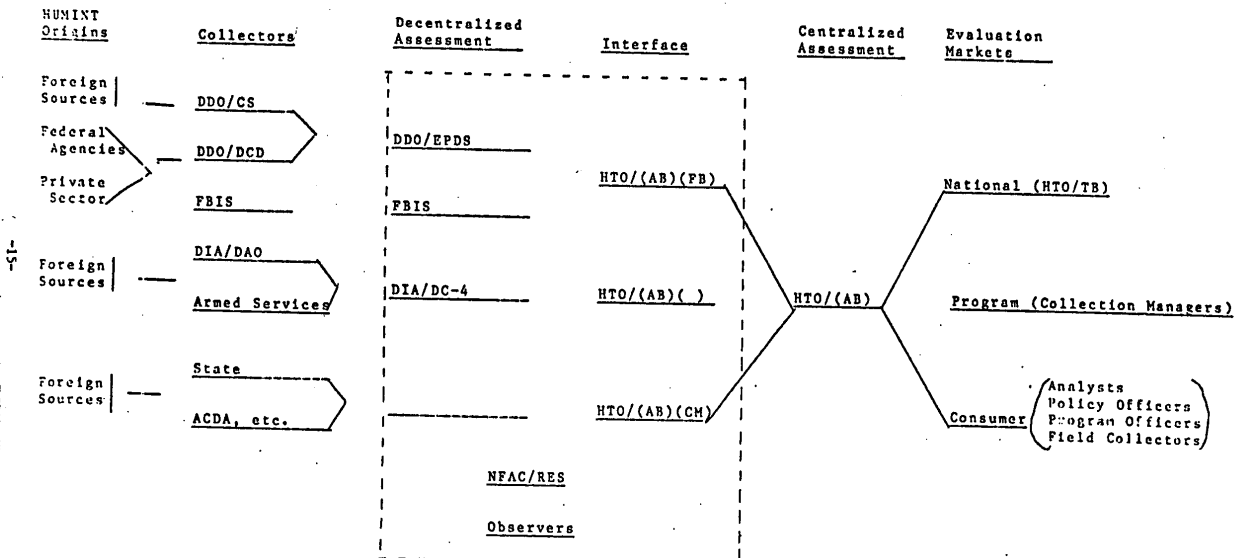
IV. SOURCES of Data for Evaluation

O = Others, outside the evaluation unit - ie, consumers, users, other evaluation units, etc.
 I = Internal - the data is obtained through studies, measures, etc. conducted inside the evaluation unit.
 Note - number indicated is the "entity #" assigned on chart.

V. DATA BASE

PMF = Personnel Management Files
 RIMS = Resource Information Management System
 PSS = Publication Source Survey

Figure V-2: Interface Approach



reporting being interviewed. Citations of tangible impacts were recorded as mentioned.

C. Non-Community Activities

On-site visits were undertaken at five (5) non-IC entities. The visits were supplemented by telephone calls and numerous readings of written materials. Relevant articles, books, and documents were obtained for this study's files (HTO-AB) - see Reference List attached.

D. Federal Policy on Evaluation

Relevant Federal policy and guidance related to evaluation was sought. Specific inquiry into such policy was made during visits to OMB and GAO. The following relevant documents were obtained for the study files (see extracts in Appendix B):

1. OMB Circular A-11
2. OMB Circular A-115
3. OMB Circular A-117
4. GAO - "Comprehensive Approach for Planning and Conducting A Program Results Review (Exposure Draft)" - 6/78.
5. GAO - "Guidelines for Economy & Efficiency Audits of Federally Assisted Programs (Exposure Draft)" 6/79.

VI. Conclusions

A. Intelligence Community (IC)

1. Current evaluation efforts in IC related to HUMINT have been identified and reviewed (19 "entities" and 3 "data bases"):
 - (a) The evaluation efforts are distinct activities conducted by separated organizational entities having little coordination and/or interconnection of efforts and reporting.
 - (b) Most efforts are of the special, "one-time-only-study" nature produced for a single decision maker/user.
 - (c) Most efforts deal with "quality" of reporting only and little or no "efficiency" or "effectiveness" evaluation.
 - (d) The survey included individuals responsible for budget preparation and defense. A number of them expressed a pressing need for evaluation information of a type and amount beyond that now coming to them.
 - (e) A need for increased quantification in evaluation is felt through out the IC - both in budget (resource) and program management areas.
2. Previous IC evaluation efforts have been identified. They are mainly "one-time-only", special studies conducted for specific needs and focus on evaluation of reporting "quality".
3. There is no Intelligence Community (IC) coordinated, systematic reporting/response assessment system in existence to support the HUMINT Tasking System as it is currently constituted. Assessment to support HUMINT Tasking requires supplementary efforts (such as conducted in this special study, using the Customer Interview Model) building upon such in-place efforts as do exist.
4. The previous and existing evaluation activities (mainly focussed on evaluation of "Quality" for specific, "local" management use) are not, at this time, adequate for the provision of responses for:
 - (a) Community level tasking assessment.
 - (b) Resource allocation concerns.
 - (c) Budgetary defense and justification.To respond to such concerns the evaluation activities will need to "raise" the level of efforts to "Efficiency" and "Effectiveness" evaluation (see section IV).

B. HUMINT - HTO

1. HUMINT reporting evaluation methods (based on Customer Interview Model) as currently conducted and as to be modified in the near term (see Recommendations) are adequate to support decision making for Tasking/Retasking.
 - (a) Evaluation for purposes of Tasking/Retasking need be, and is, evaluation of the "Quality" of reporting.
 - (b) The attributes of the reporting required to evaluate its "Quality" are expressed or implied in the:
 - (i) HUMINT Tasking Plan(s)
 - (ii) NIT(s)
 - (iii) DCID 1/2
 - (iv) PRC (I) Directive(s)
 - (v) NITC Collection Studies

2. The HTO(AB) assessment efforts conducted during this study were based on a strategy of providing an "interface" to existing evaluation/assessment efforts within the IC. This semi-centralized, interface approach is capable (by supplementing existing assessment efforts or providing such effort when it does not exist) of supporting Tasking/Retasking (HTO/TB).
3. The assessment methodology (based on DDO model) as used during this study (two specific topic areas) is based on acceptable evaluation techniques:
 - (a) objective listing of reporting used by interviewee.
 - (b) interview process obtains:
 - (i) subjective rating of reporting quality (8 attributes).
 - (ii) statements of significant short-falls, gaps, and/or overlaps.
 - (iii) citations of instances of tangible impacts (policy positions, redirected efforts or resources, savings due to redirections, "tip-offs", etc.).
4. Modifications and improvements in the assessment methodology (Customer Interview Model) are possible (see Recommendations). Several suggested improvements have been tested during this study.

C. Non-Intelligence Community

1. Non-IC (other agencies/departments) and non-governmental evaluation efforts have been reviewed and several relevant concepts and methodologies have been identified ["market" concept, evaluability assessment (EA) methods, survey concepts, etc.).
2. The state-of-the-art in evaluation relevant to the subject area of this study (intelligence reporting and utilization) is "primitive" and evolving.
 - (a) Further search for evaluation concepts, tools, and techniques should continue, but are unlikely to lead to significant advances. Most returns would be repetitions of previously seen concepts, tools, and techniques.
 - (b) Useful concepts, tools, and techniques do exist which can be adopted/modified for application to IC evaluation (refer to Recommendations following).
 - (c) The IC should adopt a strategy of modification and adaptation of existing concepts/techniques and minimal innovation.
 - (d) Elaborate, complex, and highly sophisticated evaluation tools/techniques do exist, but are not warranted at this stage of evaluation of HUMINT reporting in the IC.

D. Federal Evaluation Policy

Federal policy is that evaluation of programs be done and included in budgetary presentations [OMB Circulars A-11, A-115, A-117; GAO-"Comprehensive Approach for Planning & Conducting A Program Results Review (Exposure Draft)" 6/78, "Guidelines for Economy & Efficiency Audits of Federally Assisted Programs (Exposure Draft)" 6/79]. In addition, such evaluation data is expected for use by Congressional review/oversight groups.

No specific Federal policy/guidance regarding evaluation exists - the individual agency/department develops its own techniques within the above "general" guidance. Refer to Appendix B for extracts and copies of relevant materials.

VII. Recommendations

A. HUMINT Assessment System (HAS)

1. A HUMINT Intelligence Community-wide (IC) reporting/response assessment system (HAS) is recommended. The ad-hoc, supplementary assessment as utilized during this special study does not appear capable of supporting the HUMINT Tasking System (HTO) when fully operational.
2. The HAS should be developed on an interface, semi-centralized basis providing the linkage between existing agency, department evaluation activities and the assessment required to support HTO. The semi-centralized concept (which has proven successful during this study) would utilize existing assessment efforts, and would supplement or provide such effort where required.
3. The first step in establishment of the recommended HAS should be a formal Evaluability Assessment (EA) of the IC HUMINT Tasking and Reporting System (partial steps of an EA have been done as a part of this Study) - refer to Appendix C for detail on the EA methodology. The recommended EA would:
 - (a) refine objectives for the HAS-(What should be expected from it? How will its success/failure be established? What will HTO(AB) be responsible for?).
 - (b) establish whether or not a HAS is plausible (workable) in addressing the existing National Tasking and Response/HUMINT System - see Appendix D.
 - (c) determine whether the intended uses of HAS assessment reporting are plausible:
 - (i) can/can not support tasking, retasking - HTO/TB.
 - (ii) identify and assess other expected uses for HAS reporting - budgetary inputs, program management, policy, etc.
4. The EA and following implementation of a HAS for HUMINT HTO (AB) should be viewed as a "test-bed" for evaluation concepts and assessment in the entire National Tasking System.
 - (a) The concepts being developed and implemented are general and probably transferable to other source reporting assessment systems.
 - (b) The EA effort is required to address currently voiced concerns of assessment activities impact on analyst/user/consumer time. This question can not be addressed until a HAS is first defined by an EA.

B. Assessment Methodology - The Customer Interview Model

1. Review survey methodologies related to current HUMINT Assessment survey techniques (Customer Interview Model) with a view to limiting the impact on analyst/user/consumer time:
 - (a) Random sampling and/or rotation of user/consumer community for assessment surveys.
 - (b) Classification of user/consumer community by "customer type".
 - (c) Retrospective interviews - referring to previous (6-12 months prior) responses of interviewee.

(d) Interviewing via telephone and/or data terminal as a supplement or alternative to personal contact.

2. Standardize aspects of the interviewer questions among the sampled interviewees so that statistically supportable claims can be made for the sample responses (tools and techniques exist which appear directly applicable in this regard).

C. HUMINT [HTO-(AB)] Evaluation - General:

1. Develop a means to provide an "audit trail" from general guidance (NITs, DCID 1/2) to Tasking Plans to specific/field-level reporting requirements to reporting to analysis/production to user/consumer and policy/program support.
2. Define and refine specific attributes of "quality" to be used in evaluation of HUMINT reporting responding to Tasking Plans.
 - (a) Use the interview process to obtain subjective (user/consumer) quantification of the reporting's performance vis-a-vis the attributes.
 - (b) Develop a data base of these "quality" measures for analysis and decision making (Retasking) use.
 - (c) Analysis of this data should be performed to seek differences in ratings due to:
 - (i) "customer" type
 - (ii) time
 - (iii) topic, subject
3. Formalize the surveying of "leads" to tangible impacts and entry of such data (on leads and/or impacts) to a data base for possible further use in the evaluation of "effectiveness".

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APPENDIX A - Survey of Assessment Activities (Questionnaire)

You have been identified as an individual or group involved in assessment activities related to intelligence reporting. The Director of Central Intelligence (DCI) has approved a special study of such activities as they may relate to human source reporting (HUMINT).

Please provide the following information about your assessment activities:

1. Name of organizational unit -
2. Location/address and contact person(s), with phone numbers -
3. Number of persons/staff involved -
4. Nature of assessment activities, reporting (please describe) -
5. Where do assessment reports go -
 Primary user(s) -
 Secondary user(s) -
6. Diagram/sketch flow of assessment reporting (source to user(s)).
7. Do you have any written documentation, guides, procedures, references, directives, or other materials related to your assessment efforts?

 If yes, please list title and reference data, and indicate if copies available.

 Are "representative" copies (samples) of assessment reports available?
8. Please provide leads to other pertinent groups/individuals or activities.

Do not hesitate to include previous, no-longer-active assessment activities and their products.

Please key your answers on separate sheet to above numbers.

Thank you for your assistance.

APPENDIX B - Federal Policy Related to
Evaluation (Extracts)

The following materials:

- (1) Analysis and Justification of Programs
(Section 24.1 - 24.6) - OMB A-11.
- (2) Zero-Base Budgeting - OMB - 115.
- (3) Management Improvement and the Use
of Evaluation - A-117.

provide references to guidance and requirements
for evaluation that relate to this study report.

Analysis and Justification of Programs

24.1. Justification of programs and financing.

All estimates reflected in agency budget submissions will be supported by zero-base budget justifications.

(a) *Material required.*—The justification materials will consist of decision unit overviews, decision packages, and a ranking sheet (see exhibits 24A, 24B, and 24C). A decision unit overview and set of decision packages will be prepared and submitted to OMB for each decision unit identified by the agency in consultation with OMB (see section 11.4).

- (1) *Decision unit overview.*—The overview provides information necessary to evaluate and make budget decisions on each of the decision packages in a set without repeating the same information in each package. If appropriate, summary data may be presented in the overview.

The decision unit overview will be limited to three pages and prepared in the format of Exhibit 24A. The overview will provide the following information:

- (A) *Heading.*—Include sufficient information to identify the decision unit. Agencies will assign a unique four-digit numerical code to each decision unit. At a minimum, specify the department or agency title, bureau or other organizational subunit, title of the appropriation or fund account that finances the decision unit, the account identification code (see section 21.4), the title of the decision unit and the four-digit decision unit code.
- (B) *Long-range goal.*—Identify the long-range goal of the decision unit. Goals will be directed toward general needs and will serve as the basis for determining the major objective(s).
- (C) *Major objective(s).*—Describe concisely the major objectives of the decision unit, including those set forth in the basic authorizing legislation, and the requirements these objectives are intended to satisfy.
- (D) *Current method of accomplishing objective(s).*—Briefly describe the method currently used to accomplish the major objectives of the decision unit.
- (E) *Alternative(s).*—Briefly describe feasible alternatives to the current method of accomplishing major objectives.

Compare the alternatives in terms of anticipated effectiveness and efficiency in accomplishing the major objectives and cite the sources from which the evaluative information is taken. Include, where appropriate, a brief discussion of desirable or undesirable side effects, organizational structures and delivery systems, longer-range costs, or other factors relevant to the selection. Specify which, if any, alternative represents the method proposed for the budget year. When any enlarged or new activity is proposed, state why the need cannot be filled by State or local governments or the private sector.

- (F) *Accomplishments.*—To the extent possible, using specific measures of accomplishment, workload, effectiveness, and efficiency, describe the recent progress of the decision unit in achieving its objectives. The key indicators by which outputs and achievements will be measured should be obtainable from existing evaluation systems, including periodic in-depth program evaluation and work measurement systems (see subsection 24.1(b) below). Indirect or proxy measures should be used only while evaluation and work measurement systems are being developed. Progress toward short-term objectives may also be indicated. In addition, a brief narrative may be included to describe accomplishments that are not indicated by any of the measures.

- (G) *Resource summary (optional).*—Summarize the financial and personnel resources required in the budget year to support each package within the decision package set. Compare these amounts to the resources required for the past and current year.

- (H) *Performance, activity, and/or workload summary (optional).*—Summarize the marginal impact that each decision package will have in the budget year on key performance, activity, or workload measurements. Compare their impact to the levels for the past and current years.

- (2) *Decision packages.*—Decision package sets will contain packages representing: (1) a *minimum level*; (2) the *current level* (unless the total requested for the decision unit is below the current level); and (3) an *enhancement level*, if there is a clear need. Packages representing *intermediate levels* should be prepared when significantly different performance levels between the minimum and current level can be clearly identified. In addition, packages corresponding to certain specified levels will be included in the set when required by OMB representatives. Only one decision package need be prepared in situations where there clearly is no discretion in the amount of the funds to be spent or in the method or level that the activity is to be conducted (i.e., uncontrollable or mandatory activity).

Enactment of proposed supplementals and rescission proposals will be assumed. Amounts proposed for supplementals and rescissions will be separately identified for the current year and merged into the amounts for the budget year in the respective decision packages. However, for purposes of justification and review, separate decision packages will be required for each proposed *program* supplemental. New programs or activities (e.g., those resulting from proposed legislation or a new major objective) will form the basis for a separate decision unit and will be presented in a separate decision package set. Proposals for termination of current programs or activities will also be reflected in a separate decision package and will be discussed in the summary and highlight memorandum (see section 22.1).

The minimum level decision packages should not exceed three pages. The other packages (intermediate, current, and enhancement) should be limited to two pages. However, supplementary material deemed necessary to support the decision packages may accompany the decision packages. Each package within a decision package set will clearly describe the increase in activity, funding, and performance that would result from its inclusion in the budget. Packages will be prepared in the format of exhibit 24B and provide the following information:

- (A) *Heading.*—Specify the organizational unit (e.g., agency and bureau title), appropriation or fund account title and identification code, decision unit title,

the agency four-digit decision unit code, and the package number (e.g., 1 of 3).

- (B) *Activity.*—Describe the additional work to be performed or services to be provided with the resources specified in the package. For packages below the current level, the activity description should provide an explanation of what will be performed, rather than what will be eliminated from the current level.
- (C) *Resource requirements.*—Include appropriate information, such as obligations, offsetting collections, budget authority and outlays, and employment (full-time permanent and total) for the three years covered by the budget. For each measure used, the budget year increase associated with the package should be listed along with the cumulative amount for this and all preceding packages for the decision unit. Budget authority and outlay estimates will also be provided for 4 years beyond the budget year consistent with the criteria set forth in section 23.
- (D) *Short-term objective(s).*—State the short-term objectives (usually achievable within one year) that will be accomplished and the benefits that will result from the cumulative resources described in the package. The expected results of work performed or services provided should be identified to the maximum extent possible through the use of quantitative measures. All packages in a decision package set should use the same set of short-term objectives and measures, so that the incremental benefits from one package to the next can be readily determined. For packages below the current level, the short-term objective should provide a description of what will be accomplished, rather than what will be eliminated from the current level.
- (E) *Impact on major objective(s).*—Describe the impact on the major objective(s) or goals of both the additional and the cumulative resources shown in the package using, to the extent possible, the same quantitative and qualitative measures for all packages in the set.

- (F) *Basis (for minimum packages only)*.— Describe the basis for the minimum level, explaining why this level was determined to be the minimum level.
- (G) *Other information*.— Include other information that aids in evaluating the decision package. This should include:
- (i) Explanations of any legislation needed in connection with the package;
 - (ii) The results of benefit/cost and other analyses and evaluations that contribute to the justification;
 - (iii) For the minimum level package, the effect of zero-funding for any program in the decision unit;
 - (iv) For packages below the current level, an explanation of what now is being accomplished that will not be accomplished at the lower level; and
 - (v) Any special relationship of this decision package to other decision packages, including special coordination that may be required. If adoption of a decision package will affect the output of another decision unit, describe the expected impact in terms of the measures used for the affected unit.
- (3) *Ranking sheet*.— Each agency will prepare and submit a ranking sheet in the format of exhibit 24C that indicates in a single list the priority of all decision packages comprising the budget request. Additional decision packages prepared to examine alternative methods or for other purposes that are not part of the agency's budget request will not be included in the ranking. The ranking sheet will contain the following information:
- (A) priority rank number;
 - (B) decision unit title and package number;
 - (C) budget outlay and total employment amounts for the decision package; and
 - (D) cumulative budget outlay and total employment amounts for the decision package and all higher ranked packages.

In instances (e.g., revolving funds) where outlays and total employment are not factors in determining the appropriate or priority level of performance, agencies should indicate a measure such as budget authority, total obligations or costs.

(b) *Derivation of amounts requested*.— Agencies should base justifications on or be prepared to submit additional information covering the following:

- (1) Detailed analyses of workload, unit costs, productivity trends, the impact of capital investment proposals on productivity, changes in quality of output, and demonstrated results of past program activities.
- (2) Basis for distribution of funds (i.e., formulas or principles for allocation, matching, the awarding of loans, grants, or contracts, etc.) and data on resulting geographic distribution (e.g., by State, etc.) with identification of any issues.

Work measurement, unit costs, and productivity indexes should be used to the maximum extent practicable in justifying staffing requirements.

Properly developed work measurement procedures should be used to produce estimates of the staff-hours per unit of workload, such as the staff-hours per claim adjudicated, staff-hours per staff maintained in the field, staff-hours per infested acre of pest control, etc., depending on the nature of the agency programs. These estimates should represent an acceptable level of performance based on current realistic time standards. If the agency does not have a work measurement system that provides this type of information, statistical techniques based on historical employment input and work output may be used, while an appropriate system is under development.

Unit costs relate the volume of work to the funds required to produce the work. Unit costs may include, in addition to personnel costs, the costs of supplies, travel, equipment, etc. Thus, unit costs reflect the ratio of personnel, materials, travel and other costs to the output produced, and will be stated in the dollars (or cents) required to produce a unit of work. When unit costs include personnel costs, work measurement should be used to support the acceptability of this component.

Productivity indexes are based on the ratio of total output to resource input. Output measures are based on the volume of products or services produced for use outside the organization, with due allowance for differences in the nature of individual products or services. Measures of input may be based on the amount of personnel alone, on personnel costs, or on a more comprehensive measure of resource inputs that includes nonlabor costs.

Agencies will extend the use of work measurement and unit cost analysis to both common service activities and program activities. Usually, produc-

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tivity indexes are based on organization-wide totals of both outputs and inputs, thus already covering both direct and indirect costs. OMB will, to the extent possible, assist agencies in the establishment or improvement of work measurement and productivity analysis systems.

24.2. Analysis of economic impact.

Agencies are reminded of their obligation to prepare analyses of economic impact whenever they are required by criteria developed in accordance with OMB Circular No. A-107, and Executive Order No. 11949. In addition, agencies should respond to requests from the Council on Wage and Price Stability pursuant to their responsibilities for reviewing the economic effects of programs and activities. Also, whenever agencies are required by statute to prepare economic impact analyses, agencies should be prepared to provide these analyses when requested by OMB representatives.

24.3. Analysis of paperwork burden.

Paperwork generated in connection with ongoing programs will be reviewed and, whenever possible, reduced. For every new program initiative or expansion of an existing program, an analysis of the paperwork burden created for the private sector, State and local governments, as well as within the Federal establishment, will be submitted with the justification.

24.4. Explanations relating to supplemental estimates.

When the need for a program supplemental appropriation is forecast (see sections 11.6 and 13.2), a decision package set should be prepared in accordance with section 24.1. The "Other information" section on the decision package should set forth the reasons for the omission of the request from the regular estimates for the period concerned, and the reasons why it is considered essential that the additional appropriation be granted during the year instead of obtaining the money in a regular appropriation the following year. Whenever possible, requests for supplementals, whether under existing or proposed legislation, should be accompanied by recommendations as to where corresponding offsets can be made elsewhere in the agency. If the estimate is approved for later transmittal (rather than in the budget), further justification of the supplemental estimate will be required when it is formally submitted (see section 39). In every case, the effect of requested supplementals will also be shown in the appropriate decision packages (see section 24.1(a)(2)).

For anticipated supplementals in the current year to meet the cost of pay increases, decision packages need not be prepared. However, information should

be provided identifying, for each appropriation or fund, the total cost of the pay increases and the amount that is being absorbed in accordance with related policy guidance. Any difference from information submitted with the apportionment request for the current year should also be explained.

24.5. Rental payments to GSA.

Each agency making rental payments in excess of \$1 million to GSA for space (leased and Government-owned) and buildings services will provide a summary report in the form of exhibit 24D. The payments reported will include both the Standard Level User Charges (SLUC) and payments for reimbursable special services—e.g., extra guarding or cleaning of buildings—that agencies have requested in addition to the normal services provided.

While the report submitted to OMB will be for the agency as a whole, space rental charges should be distributed for budget presentation purposes among the appropriations and funds that finance the activities utilizing the space. These charges must be consistent with amounts reported under object classification 23.1 for the affected accounts. Agencies should be prepared to provide this information at the appropriation and fund account level, if requested.

Explanations for the information requested are as follows:

(a) *SLUC and reimbursable payments.*—Separate estimates should be provided for:

- (1) Standard level user charges (SLUC) to GSA for space and related services; and
- (2) Reimbursable payment for special services beyond the standard level of services—e.g., extra guarding or cleaning.

For the current and budget years, SLUC estimates should separately identify *base costs* and *expansion costs*. Current year expansion costs represent SLUC payments associated with expansion space to be acquired during the current year. Budget year base costs represent SLUC payments for current year space inventory, plus current year expansion space, less planned space reductions. Budget year expansion costs represent SLUC payments associated with expansion space to be acquired during the budget year.

(b) *Personnel estimates.*—Estimates will also be provided for full-time permanent and total employment for the 3 years covered by the budget. In cases where current and/or budget year personnel expansion is not likely to require additional GSA furnished office space—e.g., an increase in air traffic controllers, park rangers, or overseas employees—a special nota-

tion should be made, with past, current, and budget year employment estimates separately identified for that activity. Also, if there have been significant cut-backs in areas not requiring GSA space that would distort the relationship between net personnel expansion and new GSA space required, a separate notation should be included. DOD estimates should break out military and nonmilitary functions.

(c) *Space estimates.*—Estimates will also be provided for the square foot inventory for which SLUC payments are made to GSA. These estimates should break out the *base inventory and expansion space* for the current and budget years in the same manner that such a break out is provided for SLUC payments.

If subsequent changes made in budget allowances result in revised space or personnel requirements,

Public Buildings Service, GSA will be notified in order to compute a corresponding revision in rental payments. An updated report will be prepared and sent to OMB immediately upon receipt of such changes in budget allowances.

24.6. Analysis of ADP and telecommunications resources.

The materials required by section 24.1 should include justification for ADP and/or telecommunications requirements in those decision package sets where either the estimates for ADP or telecommunications to support the decision unit exceed \$1 million in the budget year, or where the required ADP or telecommunications resources are more than 10 per cent of the total estimate for the decision unit (see section 43).

Analysis and Justification of Programs

24.1. Justification of programs and financing.

All estimates reflected in agency budget submissions will be supported by zero-base budget justifications.

(a) *Material required.*—The justification materials will consist of decision unit overviews, decision packages, and a ranking sheet (see exhibits 24A, 24B, and 24C). A decision unit overview and set of decision packages will be prepared and submitted to OMB for each decision unit identified by the agency in consultation with OMB (see section 11.4).

- (1) *Decision unit overview.*—The overview provides information necessary to evaluate and make budget decisions on each of the decision packages in a set without repeating the same information in each package. If appropriate, summary data may be presented in the overview.

The decision unit overview will be limited to three pages and prepared in the format of Exhibit 24A. The overview will provide the following information:

- (A) *Heading.*—Include sufficient information to identify the decision unit. Agencies will assign a unique four-digit numerical code to each decision unit. At a minimum, specify the department or agency title, bureau or other organizational subunit, title of the appropriation or fund account that finances the decision unit, the account identification code (see section 21.4), the title of the decision unit and the four-digit decision unit code.
- (B) *Long-range goal.*—Identify the long-range goal of the decision unit. Goals will be directed toward general needs and will serve as the basis for determining the major objective(s).
- (C) *Major objective(s).*—Describe concisely the major objectives of the decision unit, including those set forth in the basic authorizing legislation, and the requirements these objectives are intended to satisfy.
- (D) *Current method of accomplishing objective(s).*—Briefly describe the method currently used to accomplish the major objectives of the decision unit.
- (E) *Alternative(s).*—Briefly describe feasible alternatives to the current method of accomplishing major objectives.

Compare the alternatives in terms of anticipated effectiveness and efficiency in accomplishing the major objectives and cite the sources from which the evaluative information is taken. Include, where appropriate, a brief discussion of desirable or undesirable side effects, organizational structures and delivery systems, longer-range costs, or other factors relevant to the selection. Specify which, if any, alternative represents the method proposed for the budget year. When any enlarged or new activity is proposed, state why the need cannot be filled by State or local governments or the private sector.

- (F) *Accomplishments.*—To the extent possible, using specific measures of accomplishment, workload, effectiveness, and efficiency, describe the recent progress of the decision unit in achieving its objectives. The key indicators by which outputs and achievements will be measured should be obtainable from existing evaluation systems, including periodic in-depth program evaluation and work measurement systems (see subsection 24.1(b) below). Indirect or proxy measures should be used only while evaluation and work measurement systems are being developed. Progress toward short-term objectives may also be indicated. In addition, a brief narrative may be included to describe accomplishments that are not indicated by any of the measures.
- (G) *Resource summary (optional).*—Summarize the financial and personnel resources required in the budget year to support each package within the decision package set. Compare these amounts to the resources required for the past and current year.
- (H) *Performance, activity, and/or workload summary (optional).*—Summarize the marginal impact that each decision package will have in the budget year on key performance, activity, or workload measurements. Compare their impact to the levels for the past and current years.

- (F) *Basis (for minimum packages only).*—Describe the basis for the minimum level, explaining why this level was determined to be the minimum level.
- (G) *Other information.*—Include other information that aids in evaluating the decision package. This should include:
- (i) Explanations of any legislation needed in connection with the package;
 - (ii) The results of benefit/cost and other analyses and evaluations that contribute to the justification;
 - (iii) For the minimum level package, the effect of zero-funding for any program in the decision unit;
 - (iv) For packages below the current level, an explanation of what now is being accomplished that will not be accomplished at the lower level; and
 - (v) Any special relationship of this decision package to other decision packages, including special coordination that may be required. If adoption of a decision package will affect the output of another decision unit, describe the expected impact in terms of the measures used for the affected unit.
- (3) *Ranking sheet.*—Each agency will prepare and submit a ranking sheet in the format of exhibit 24C that indicates in a single list the priority of all decision packages comprising the budget request. Additional decision packages prepared to examine alternative methods or for other purposes that are not part of the agency's budget request will not be included in the ranking. The ranking sheet will contain the following information:
- (A) priority rank number;
 - (B) decision unit title and package number;
 - (C) budget outlay and total employment amounts for the decision package; and
 - (D) cumulative budget outlay and total employment amounts for the decision package and all higher ranked packages.
- In instances (e.g., revolving funds) where outlays and total employment are not factors in determining the appropriate or priority level of performance, agencies should indicate a measure such as budget authority, total obligations or costs.

(b) *Derivation of amounts requested.*—Agencies should base justifications on or be prepared to submit additional information covering the following:

- (1) Detailed analyses of workload, unit costs, productivity trends, the impact of capital investment proposals on productivity, changes in quality of output, and demonstrated results of past program activities.
- (2) Basis for distribution of funds (i.e., formulas or principles for allocation, matching, the awarding of loans, grants, or contracts, etc.) and data on resulting geographic distribution (e.g., by State, etc.) with identification of any issues.

Work measurement, unit costs, and productivity indexes should be used to the maximum extent practicable in justifying staffing requirements.

Properly developed work measurement procedures should be used to produce estimates of the staff-hours per unit of workload, such as the staff-hours per claim adjudicated, staff-hours per staff maintained in the field, staff-hours per infested acre of pest control, etc., depending on the nature of the agency programs. These estimates should represent an acceptable level of performance based on current realistic time standards. If the agency does not have a work measurement system that provides this type of information, statistical techniques based on historical employment input and work output may be used, while an appropriate system is under development.

Unit costs relate the volume of work to the funds required to produce the work. Unit costs may include, in addition to personnel costs, the costs of supplies, travel, equipment, etc. Thus, unit costs reflect the ratio of personnel, materials, travel and other costs to the output produced, and will be stated in the dollars (or cents) required to produce a unit of work. When unit costs include personnel costs, work measurement should be used to support the acceptability of this component.

Productivity indexes are based on the ratio of total output to resource input. Output measures are based on the volume of products or services produced for use outside the organization, with due allowance for differences in the nature of individual products or services. Measures of input may be based on the amount of personnel alone, on personnel costs, or on a more comprehensive measure of resource inputs that includes nonlabor costs.

Agencies will extend the use of work measurement and unit cost analysis to both common service activities and program activities. Usually, produc-

Secs. 24.1-24.5

tivity indexes are based on organization-wide totals of both outputs and inputs, thus already covering both direct and indirect costs. OMB will, to the extent possible, assist agencies in the establishment or improvement of work measurement and productivity analysis systems.

24.2. Analysis of economic impact.

Agencies are reminded of their obligation to prepare analyses of economic impact whenever they are required by criteria developed in accordance with OMB Circular No. A-107, and Executive Order No. 11949. In addition, agencies should respond to requests from the Council on Wage and Price Stability pursuant to their responsibilities for reviewing the economic effects of programs and activities. Also, whenever agencies are required by statute to prepare economic impact analyses, agencies should be prepared to provide these analyses when requested by OMB representatives.

24.3. Analysis of paperwork burden.

Paperwork generated in connection with ongoing programs will be reviewed and, whenever possible, reduced. For every new program initiative or expansion of an existing program, an analysis of the paperwork burden created for the private sector, State and local governments, as well as within the Federal establishment, will be submitted with the justification.

24.4. Explanations relating to supplemental estimates.

When the need for a program supplemental appropriation is forecast (see sections 11.6 and 13.2), a decision package set should be prepared in accordance with section 24.1. The "Other information" section on the decision package should set forth the reasons for the omission of the request from the regular estimates for the period concerned, and the reasons why it is considered essential that the additional appropriation be granted during the year instead of obtaining the money in a regular appropriation the following year. Whenever possible, requests for supplementals, whether under existing or proposed legislation, should be accompanied by recommendations as to where corresponding offsets can be made elsewhere in the agency. If the estimate is approved for later transmittal (rather than in the budget), further justification of the supplemental estimate will be required when it is formally submitted (see section 39). In every case, the effect of requested supplementals will also be shown in the appropriate decision packages (see section 24.1(a)(2)).

For anticipated supplementals in the current year to meet the cost of pay increases, decision packages need not be prepared. However, information should

be provided identifying, for each appropriation or fund, the total cost of the pay increases and the amount that is being absorbed in accordance with related policy guidance. Any difference from information submitted with the apportionment request for the current year should also be explained.

24.5. Rental payments to GSA.

Each agency making rental payments in excess of \$1 million to GSA for space (leased and Government-owned) and buildings services will provide a summary report in the form of exhibit 24D. The payments reported will include both the Standard Level User Charges (SLUC) and payments for reimbursable special services—e.g., extra guarding or cleaning of buildings—that agencies have requested in addition to the normal services provided.

While the report submitted to OMB will be for the agency as a whole, space rental charges should be distributed for budget presentation purposes among the appropriations and funds that finance the activities utilizing the space. These charges must be consistent with amounts reported under object classification 23.1 for the affected accounts. Agencies should be prepared to provide this information at the appropriation and fund account level, if requested.

Explanations for the information requested are as follows:

(a) *SLUC and reimbursable payments.*—Separate estimates should be provided for:

- (1) Standard level user charges (SLUC) to GSA for space and related services; and
- (2) Reimbursable payment for special services beyond the standard level of services—e.g., extra guarding or cleaning.

For the current and budget years, SLUC estimates should separately identify base costs and expansion costs. Current year expansion costs represent SLUC payments associated with expansion space to be acquired during the current year. Budget year base costs represent SLUC payments for current year space inventory, plus current year expansion space, less planned space reductions. Budget year expansion costs represent SLUC payments associated with expansion space to be acquired during the budget year.

(b) *Personnel estimates.*—Estimates will also be provided for full-time permanent and total employment for the 3 years covered by the budget. In cases where current and/or budget year personnel expansion is not likely to require additional GSA furnished office space—e.g., an increase in air traffic controllers, park rangers, or overseas employees—a special nota-

tion should be made, with past, current, and budget year employment estimates separately identified for that activity. Also, if there have been significant cut-backs in areas not requiring GSA space that would distort the relationship between net personnel expansion and new GSA space required, a separate notation should be included. DOD estimates should break out military and nonmilitary functions.

(c) *Space estimates.*—Estimates will also be provided for the square foot inventory for which SLUC payments are made to GSA. These estimates should break out the *base inventory and expansion space* for the current and budget years in the same manner that such a break out is provided for SLUC payments.

If subsequent changes made in budget allowances result in revised space or personnel requirements,

Public Buildings Service, GSA will be notified in order to compute a corresponding revision in rental payments. An updated report will be prepared and sent to OMB immediately upon receipt of such changes in budget allowances.

24.6. Analysis of ADP and telecommunications resources.

The materials required by section 24.1 should include justification for ADP and/or telecommunications requirements in those decision package sets where either the estimates for ADP or telecommunications to support the decision unit exceed \$1 million in the budget year, or where the required ADP or telecommunications resources are more than 10 per cent of the total estimate for the decision unit (see section 43).

- c. Identification of objectives for each decision unit. Meaningful objectives should be established for each decision unit. Both major objectives (the main results ultimately expected to be accomplished) and short-term objectives (outputs expected for a given level of funding during the budget year) should be identified. The manager of the decision unit should include in a statement of objectives information relating to both the services or products to be provided by the decision unit and the contribution of that output to achievement of the principal missions toward which the unit's efforts are directed.

Major objectives should:

- be explicit statements of intended output clearly related to the mission of the program or organization;
- be developed by participation of managers at all levels;
- be subject to realistic measures of performance;
- form the basis for evaluating the accomplishments of the program or organization; and
- normally be of a continuing nature, or take relatively long periods to accomplish.

Top level agency management should be involved in setting objectives for lower-level agency members to:

- (1) ensure that appropriate policy guidance is furnished to managers throughout the agency;
- (2) aid managers who prepare decision packages to define, explain, and justify their activities and the required resources at different levels of performance; and
- (3) aid higher level managers in understanding and evaluating the budget requests.

Some factors to be considered in identifying objectives are:

- Number of objectives. The number of objectives for a decision unit may have a direct bearing on the effectiveness of the ZBB process. Too many may make it difficult for higher management levels to assess the relative importance of each decision package and its respective ranking in comparison with other packages. Moreover, too many objectives for a decision unit may indicate that it was established initially at too aggregated a level.
- Measures of performance. As objectives are identified, managers should simultaneously determine the key indicators by which performance is to be measured. Agencies should specify measures of accomplishment, workload, effectiveness, and efficiency for each decision unit. The key indicators by which outputs and achievements will be measured should be obtainable from existing evaluation systems, including periodic in-depth program evaluations, and work measurement systems (see OMB Circular No. A-11, regarding the justification of programs and financing). Indirect or proxy measures should be used only while evaluation and work measurement systems are being developed.

-- Organization plans and goals. Objectives should evolve from stated plans and goals for the organization. If such plans and goals have not already been communicated, this step should provide for better understanding between organizational units on the purpose and direction of the respective units.

- d. Identification and evaluation of alternative methods of accomplishing objectives. Following the establishment of objectives, the decision unit manager will examine alternative methods of accomplishing each objective. The study of methods of operation that differ from existing practices necessitates a rethinking by managers of whether the current way of doing business is still the most appropriate way. This often requires a reexamination of the program, including a review of existing legislation, organization structure, and existing managerial practices. It also requires managers to search for innovative ways to achieve program objectives at lower costs.

Assessments of alternatives should be based on the relative effectiveness and efficiency of each alternative in accomplishing major objectives, taking into account desirable and undesirable consequences of each alternative. If available information is not adequate to assess all reasonable alternatives, evaluation efforts should be undertaken so that meaningful comparisons can be made for future budget cycles.

In some instances, feasible alternatives may require additional legislation, the need for which may have been identified during the course of a major reexamination of the program or activity. In other instances, it may not be possible to study or to examine fully alternative methods within the budget cycle, in which case adjustments can be made subsequent to the submission of the budget. In still other instances, the alternatives identified may represent the first steps toward more significant program changes that will take longer than one year to accomplish.

The alternatives that are identified must be both feasible and realistic. They must indicate to reviewers that management is making a conscientious and continuing effort to improve the effectiveness and efficiency of the unit. Each higher level of review should thoroughly examine the alternatives to ensure that sufficient attention has been given to ways to improve operations or reduce resource requirements. To ensure adequate coverage, it may be advisable for central budget, evaluation, and planning staffs to participate in the evaluation of alternatives and the establishment of implementation schedules for those that are selected.



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

MAR 23 1979

CIRCULAR NO. A-117

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Management Improvement and the Use of Evaluation
in the Executive Branch

1. Purpose. This Circular provides guidance on management improvement initiatives designed to increase the efficiency and effectiveness of program operations in the Executive Branch. It also emphasizes the importance of the role of evaluation in overall management improvement and the budget process.

2. Rescissions. This Circular supersedes and rescinds Circular No. A-44 (Revised), dated May 24, 1972, subject: "Management review and improvement program"; and Circular No. A-113, dated November 17, 1976, subject: "Preparation and submission of management plans."

3. Policy. All agencies of the Executive Branch of the Federal Government will assess the effectiveness of their programs and the efficiency with which they are conducted and seek improvement on a continuing basis so that Federal management will reflect the most progressive practices of both public and business management and result in improved service to the public.

4. Definitions. For the purposes of this Circular, the following definitions apply:

a. Management improvement is any action taken to improve the quality and timeliness of program performance, increase productivity, control costs, or mitigate adverse aspects of agency operations.

b. Management evaluation is a formal assessment of the efficiency of agency operations. It includes assessing the effectiveness of organizational structures and relationships, operating procedures and systems, and work force requirements and utilization.

c. Program evaluation is a formal assessment, through objective measurements and systematic analyses, of the manner and extent to which Federal programs (or their components) achieve their objectives or produce other significant effects, used to assist management and policy decisionmaking.

d. Performance measures are reliable and objective indicators of the results of a Federal activity. They include measures of efficiency, effectiveness, program impact, and program output or workload.

e. Productivity is a ratio between the output of an organizational unit and the input it utilizes during a specified period of time. Output is expressed in terms of items produced, services provided, or some other measure of achievement. Input is expressed by the most relevant measure of resources consumed by the unit, such as personnel effort, equipment, or total dollars.

f. Evaluation resources in a department or agency are the funds and personnel used to conduct management evaluations and audits, program evaluations, and productivity measurement.

5. General guidelines. The heads of all executive departments and agencies are responsible for developing and pursuing comprehensive management improvement efforts. The objective of such efforts should be discernable improvement in Federal programs--in the efficiency of administration or management and in the effectiveness of results. The basis for identifying management improvement needs is a sound evaluation system. While agency evaluation systems may serve multiple purposes, they should have the following characteristics to be effective in contributing to management improvement.

a. They should focus on program operations and results. They should include procedures to assure that evaluation efforts result in specific management improvements that can be validated.

b. They should assist management in the identification of program objectives, in providing explicit statements of intended outputs related to the objectives, and in developing realistic performance measures to be used in conducting evaluations.

c. They should be relevant to the budget process in that evaluation results should be a major input to resource allocation decisions.

d. Agency evaluation activities should be reviewed periodically to assure that:

- evaluation efforts that do not contribute directly to improving program operations or facilitating their improvement are minimized;
- there is a balanced emphasis on both evaluation and prospective analyses, such as planning and policy analysis; and
- they use available evaluation resources in an economic and efficient manner.

Continuing attention should be paid to management improvement and cost reduction opportunities in activities such as accounting, ADP operations, cash management, communications, data collection, grants management, paperwork, printing and reproduction, regulations improvement, travel, and other administrative activities.

6. Reporting requirements. Every department and agency whose budget is subject to review by OMB will submit an annual report to OMB, in accordance with the attachment to this Circular, summarizing the resources devoted to management improvement and evaluation activities and naming the principal officials responsible for those activities.

7. Responsibilities of the Office of Management and Budget. In addition to the actions taken as part of the budget process, OMB, as part of its management responsibilities, will:

- a. Seek to identify areas or operations of the Federal Government in which significant management improvements can be achieved and the steps necessary to accomplish those improvements;

b. Assess the effectiveness of agency management improvement and evaluation activities and conduct follow-up consultations with departments and agencies as appropriate;

c. Disseminate information about highly successful management improvement projects in areas of government-wide interest;

d. Promote the development and use of valid performance measures; and

e. Conduct or sponsor a limited number of management improvement projects during the year. The projects will be assigned by the Director, OMB, and generally will be of Presidential interest.

8. Presidential Management Improvement Awards. Awards will be made by the President to a limited number of individual Federal employees, teams or organizational units who have made exceptional and outstanding contributions to the improvement of management in the Executive Branch. Details of this program are contained in Chapter 451 of the Federal Personnel Manual.

9. Implementing Instructions. Copies of any instructions implementing this Circular should be forwarded to the Director, Office of Management and Budget, Attention: Assistant Director for Management Improvement and Evaluation.

10. Inquiries. Inquiries relative to this Circular should be directed to the Office of Management and Budget, Management Improvement and Evaluation Division, Room 10235, New Executive Office Building, Washington, D.C. 20503, telephone (202) 395-4960 or 395-5642.


James T. McIntyre, Jr.
(Director)

Attachment

ATTACHMENT
Circular No. A -117

INSTRUCTIONS FOR ANNUAL REPORT TO OMB

On or before June 30, 1979, and by May 15 of each subsequent year, every department or agency whose budget is subject to review by OMB will submit a report of resources for evaluation and management improvement, using the format of the attached exhibit.

Fiscal Year - Enter the current fiscal year.

Department or agency - Enter the name of the department or independent agency submitting the report.

Bureau - Cabinet departments are to submit a separate sheet for each bureau or comparable organizational unit, plus a separate sheet giving department totals. Independent agencies submit a single sheet giving agency totals only.

Resources (Obligations) - For each line enter the total obligations, in thousands of dollars, expected to be devoted to that function during the current fiscal year. Include in the totals only obligations for personnel compensation, personnel benefits, contracts, and grants.

Resources (Staff Years) - For each line enter the total estimated full-time equivalent staff years devoted by all agency employees (both full-time and part-time) to that function during the current fiscal year. Include professional, administrative, and clerical staff, but do not include any employees who will spend less than 25 percent of their time on the function during the fiscal year.

LINE ENTRIES

For each function listed, enter obligations and staff years as indicated. Do not include any resources in more than one category. Prorate among categories if necessary. For example, if a particular study is 70% program evaluation and 30% management evaluation, include 70% of the study resources under program evaluation and 30% under management evaluation.

For each line entry, supply the name, title, address, and telephone number of the principal agency official directly responsible for and familiar with the details of the activities included.

1. Management Evaluation - Enter total obligations and staff years devoted to management evaluation as defined in Circular A-117.

For the purposes of this report, management evaluation activities consist of the following:

- (1) Planning, developing, assessing, and modifying organizational structures and relationships;
 - Operating procedures;
 - Internal regulations, instructions, and delegations of authority; and
 - Management information and control systems (but not including normal operation and maintenance of such systems).
- (2) Conducting or guiding
 - Assessments of operating efficiency or effectiveness; and
 - Analyses of specific administrative needs.
- (3) Assessing worker productivity (but not including routine collection and processing of productivity data), achievement of performance objectives, and other quantitative measures of operational efficiency and effectiveness.

2. Program Evaluation - Enter total obligations and staff years devoted to program evaluation as defined in Circular A-117. In the spaces provided, give a breakdown of obligations into personnel costs (compensation and benefits) and contracts and grants.

For the purposes of this report, the following are program evaluation activities:

- (1) Formal studies, surveys, and data analyses for the purpose of determining the effectiveness, efficiency, or impact of a national or regional program.
- (2) Systematic assessment of demonstration programs or projects which are expected to have major implication for programs of national or regional scope; except that evaluation activities which are an intrinsic part of the program operations or management should not be reported.

- (3) Assessment and development of program designs to assure that programs, once operational, can be successfully evaluated.
- (4) Design, development, and field testing of new program evaluation methodologies.
- (5) Synthesis and further analysis of results obtained by several previous program evaluation efforts.
- (6) Collection of initial data to help in evaluation design and provide a baseline for subsequent evaluations.

The following are not to be included in program evaluation activities for this report:

- (1) Design, development, and operation of general data systems or management information systems.
 - (2) Continuing collection of routine data and general purpose statistics.
 - (3) Analysis of existing or proposed policies where no programs yet exist (even though authorized) for purposes of appraising the likely costs and effects of feasible alternatives. Although such analyses are often called "evaluations," they are prospective in character; whereas program evaluation is retrospective, aimed at determining what has actually occurred as the result of past program actions.
 - (4) Basic research and studies intended to increase or foster general knowledge development, but which are not expected to be used specifically and primarily in policy and management decisions.
 - (5) Routine, day-to-day monitoring of program operations which is an intrinsic part of program administration.
3. Productivity Measurement - Enter total obligations and staff years devoted to work measurement, determination of unit costs, and the collection and processing of other data whose primary use is to measure the productivity of the agency's own operations. Include routine measurement activities as well as special studies.

4. Other Management Improvement - Enter total obligations and staff years devoted to management improvement, as defined in Circular A-117, which are not included in the other line entries.

Total Department/Agency/Bureau - Enter the total obligations and staff years devoted to the management and evaluation functions detailed in the line entries above. The line entries should add to the total shown.

PREVIOUS YEAR UPDATE

Beginning with the May 15, 1980 report, the resources actually devoted to evaluation and management improvement activities in the department or agency for the previous fiscal year should be reported. However, no update is necessary if the actual department or agency totals are within 10% of the previously reported estimates.

SUBMISSION

Reports for all departments and agencies covered by this requirement shall be submitted by May 15 each year to OMB, attention: Management Improvement and Evaluation Division. Inquiries concerning this report should be addressed to the Division (395-5193).

EXHIBIT
Circular A-117

FISCAL YEAR _____
RESOURCES FOR EVALUATION AND MANAGEMENT IMPROVEMENT

Department or Agency: _____

Date of submission: _____

Bureau*: _____

Check one: Current year estimate
 Previous year update**

MANAGEMENT IMPROVEMENT AND EVALUATION FUNCTION	RESOURCES		RESPONSIBLE OFFICIAL Name, Title, Address, Telephone Number
	Obligations (Thousands of dollars)	Staff Years (FTE)	
1. Management Evaluation			
2. Program Evaluation (Personnel)	()		
(Contracts & Grants)	()		
3. Productivity Measurement			
4. Other Management Improvement			
TOTAL RESOURCES:			

* Cabinet Departments submit a separate sheet for each bureau or comparable subunit, plus one sheet giving Department totals. Independent agencies submit a single sheet giving agency totals only.

** Actual resources for the previous year should be submitted only if they differ by more than 10 percent from the previously reported estimates for that year.

APPENDIX C - Evaluability Assessment (EA)

"Evaluability Assessment (EA) is a descriptive and analytic process intended to produce a reasoned basis for proceeding with an evaluation that is likely to prove useful to both management and policy makers." [Schmidt, 1978]

EA considers and documents the following:

- (a) the system objectives, expectations, and causal assumptions of policy-makers and managers in charge of the program.
- (b) what political groups (Congress, Executive Branch policy-makers, and interest groups) say the system objectives are.
- (c) the extent to which management's system objectives and information needs have been defined in measurable terms.
- (d) the system activities actually under way.
- (e) the likelihood that system activities will achieve measurable progress toward system objectives.
- (f) likely uses of information on system performance.
- (g) options for changes in system activities, objectives, and use of information that could enhance system performance.

The final products of an EA would be:

- (1) a written list of agreed-on system objectives, important side-effects, and measures (indicators of performance to which the system managers could realistically be held accountable.
- (2) a set of evaluation/management options of ways that management can change system activities, objectives, or uses of information (measures of performance) so as to improve system performance.

A. EA Origins

The EA methodology grew out of efforts of the program evaluation group at the Urban Institute during the last ten (10) years. Many of these efforts were Federally funded studies - in particular through DHEW.

B. EA Assumptions

The assumptions related to EA are:

- (1) the environment of governmental systems (programs) is complex.
- (2) objectives of such systems are unclear, cloudy, poorly defined, ambiguous, and vague.
- (3) results of system activities are often uncertain.
- (4) demand for evaluation is growing.
- (5) problems in response to demands for evaluation:
 - purpose of evaluation unclear.
 - few examples of evaluation resulting in more effective performance.
 - usefulness of evaluation products questioned by both officials and evaluators.

Research and experience in the field of evaluation has shown that evaluation is likely to aid in improving system (program) performance if the following three criteria are met:

- (1) system (program) objectives are well defined - specific measures of performance and data on those measures exist and are obtainable at a reasonable cost.
- (2) system assumptions/objectives are plausible - evidence exists that system activities have some probability of causing the results/effects stated in the system objectives.
- (3) intended uses of evaluation (assessment) information are well defined and plausible - the system managers have defined the uses of evaluation information and such uses are plausible.

EA is a preliminary assessment of a system (program) to determine if the above three criteria are satisfied. The major assumption is that if these criteria are not met, then further efforts to evaluate the system or activity would be fruitless.

C. EA Experience/Applications

EA studies have been conducted in the following Federal or government agencies:

- (1) National Institute of Mental Health (NIMH) - 1974.
- (2) National Institute of Law Enforcement and Criminal Justice - 1977.
- (3) Appalachian Regional Commission - 1976.
- (4) Bureau of Health Planning and Resources Development - 1977.

The above four (4) cases are discussed in J.S. Wholey, Evaluation: Promise and Performance, Urban Institute, 1979 and further references are provided.

D. Applicability of EA to Intelligence Community

1. A formal Evaluability Assessment (EA) of the HUMINT Tasking and Reporting System is recommended. There are two (2) levels at which an EA can be conducted - both are recommended:

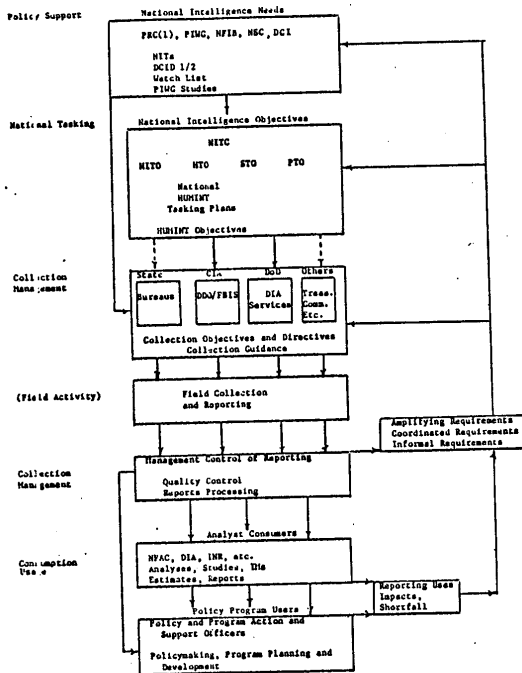
- (a) Tasking Plan level - the system supporting the development and production of Tasking Plans and their later retasking. This is the set of activities that make up the HTO(TB) and HTO(AB) portion of the HUMINT Assessment System (HAS).
- (b) National HUMINT Tasking System (NHTS) or System level - the overall system (which includes (1) above) related to Intelligence Community (IC) tasking of various agencies/ departments, their tasking of collection resources, collection activities, reporting, analysis (consumer), final users (policy-makers), assessment/evaluation, and retasking. This is the total HUMINT Assessment System (HAS) supporting HTO.

2. The EA would accomplish the following for both system levels above - Plan level and System level:

- (a) provide well defined system objectives.
- (b) establish plausibility of system assumptions/objectives (system activities have probability of causing results/ effects stated in objectives).
- (c) determine plausibility of intended uses of evaluation and assessment reporting.

It is recommended that the Plan level EA be conducted and completed first as a test/experimental case for the System level EA. Progress has been made on the Plan level EA.

NATIONAL TASKING AND RESPONSIBILITY SYSTEM STRUCTURE AND FLOW



Policy Support

SUBJECT
Geographic area, region, country
Importance, priority
Correlation:
Tasking - national intelligence needs
Reporting uses, impacts, shortfalls - national needs

Assessment Elements and Actions

HTO/TS
HTO/AS
Observation -
Interface, consumer/user
Interviewing

National Tasking

SUBJECT
Geographic area, region, country
Importance, priority
Correlation:
HUMINT Tasking Plans - national intel needs
Number and quality of amplifying requirements - Tasking Plan objectives
Number of reports - amplifying requirements
Reporting uses, impacts, shortfalls - TP objectives assigned
Amount of redefinition of TP objectives - TP
Amount of retasking - TP objectives and TPs

HTO/TS
HTO/AS
HTO/AS
HTO/TMAAS
HTO/TMAAS
Observation
Observation
Interface, consumer/user
Interviewing
Observation (for system assessment)
Observation (for system assessment)

Collection Management

SUBJECT
Geographic area, region, country
Priority
Correlation:
Organizations' objectives - national intelligence objectives
Organization's objectives - TP objectives
Operating directives - Organization objectives
Reporting uses, impacts, shortfalls - operating directives, organization objectives, TP objectives, national objectives
Number and quality of reports - (same as above)
Reassignments and redirections of collection efforts - (same as above)
Collection activities and expenditures - (same as above)

Collector
Collector
Collector
Collector
Collector
Collector
Observation
Observation
Consumer/user interviewing, interface
Observation
Observation
Observation/calculation

Consumption/Use

Reporting use in analysis and/or finished intelligence
Use of finished intelligence in policy and/or program support and/or action
Use of reporting directly in policy and/or program support and/or action
Redirection or saving of efforts and/or funds that is traceable to the HUMINT reporting
Shortfall in contribution to all the above

Consumer
Consumer/user
User
User
Consumer/user
Consumer/user
Observation
Observation
Observation
Observation/calculation
Observation

APPENDIX E - HUMINT Response Assessment Objectives

1. To ensure the subject and geographic coverage by HUMINT that is required for that type of intelligence by national need, as specified in HUMINT Tasking Plan objectives and associated amplifying requirements.
2. To ensure adequate HUMINT responsiveness to the priority dependence upon it, in meeting national need, that is specified in Tasking Plans in connection with certain objectives.
3. To ensure an amount and quality of HUMINT that constitute sufficient response to the amplified objectives in Tasking Plans, in accordance with the collection responsibilities assigned, as revealed in the uses and impacts of the reporting.
4. To identify significant shortfall in timely, quality HUMINT response to amplified objectives in the Tasking Plans, as revealed in the observations of key consumers and users of HUMINT.
5. To obtain the consumer/user feedback required in the above in such a way as to ensure its reliability and availability.
6. To obtain this feedback through a system that is cost-effective and help spread new emphasis upon effectiveness measurement with respect to HUMINT collection and its assessment.