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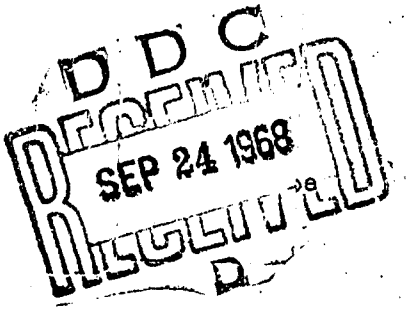
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HAMLET EVALUATION SYSTEM STUDY (HES) ACG 60F



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AVIB-CC 1 May 1968

SUBJECT: Final Report - Hamlet Evaluation System Study (HESS) ACC 60F

Commanding General
United States Army Vietnam
ATTN: AVHGC-DST
APO 96375

1. Reference: Letter, AVHGC-DH, Headquarters, US Army Vietnam, 23 February 1967, subject: Letter of Instruction.

2. In accordance with the provisions of the foregoing reference, the attached final report is forwarded for review and transmittal to Department of the Army.

3. Request a copy of the USARV and CINCUSARPAC forwarding indorsements be furnished the Commanding Officer, Army Concept Team in Vietnam (ACTIV).

FOR THE COMMANDER:

1 Incl
as

F. A. KLEIN
CPT, AGC
Adjutant

DEPARTMENT OF THE ARMY
ARMY CONCEPT TEAM IN VIETNAM
APO San Francisco 96384

HAMLET EVALUATION SYSTEM STUDY (HES) ACG 60F

1 May 1968

Approved:

C. J. MOLLOY, Jr.
Colonel, Infantry
Acting Commander

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HAMLET EVALUATION SYSTEM STUDY

Prepared by: Ithiel de Sola Pool
Gordon Fowler
Peter McGrath
Richard Peterson

Sponsored by

ARMY CONCEPT TEAM IN VIETNAM

This research was supported by and performed under the direction of the Army Concept Team in Vietnam in accordance with contract number DAHC 19-68-0002. The views, conclusions or recommendations expressed in this document do not necessarily reflect the official views or policies of the Department of Defense.

Submitted by

THE SIMULMATICS CORPORATION

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LIST OF ABBREVIATIONS

ACTIV.....Army Concept Team in Vietnam

ADA.....Assistant District Advisor

APT.....Armed Propaganda Team

ARVN.....Army of the Republic of Vietnam

CIDG.....Civilian Irregular Defense Group

DA-T.....District Advisory Team

DEROS.....Date of Departure

Dist.....District

DOA.....Date of Arrival

DOICC.....District Office Intelligence Coordinating Centers

HES.....Hamlet Evaluation System

HEW.....Hamlet Evaluation Worksheet

IF.....Interview Form

Int.....Interview

MAC/CORDS....Military Assistance Command/Civilian Office of Revolutionary Development Support

MACV.....Military Assistance Command Vietnam

MCA.....Military Civilian Analysts

NPA.....National Priority Area

PA.....Province Advisor

PF.....Popular Force

PFF.....Police Field Forces

PRU.....Provincial Reconnaisance Unit

PTAI.....Pacific Technical Analysts Incorporated

Rch.....Research

RDT.....Revolutionary Development Team

RF.....Regional Force

SDA.....Senior District Advisor

VIS.....Vietnamese Information Service

VIT.....Vietnamese Interview Team

GLOSSARY

Armed Propaganda Team - South Vietnamese psychological warfare group, composed of former Viet Cong.

Civilian Irregular Defense Group - Small unit GVN counter-guerrilla force.

Hoa Hao - An indigenous Vietnamese Buddhist sect founded in 1939.

Popular Force - Formerly Self-Defense Corps militia-like troops.

Provincial Reconnaisance Unit - Small unit reconnaisance and reaction force.

Regional Force - Formerly Civil Guard, a South Vietnamese civil militia.

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Hamlet data for this study was collected by Vietnamese interviewers, a group of Saigon University students, who idealistically and cheerfully assumed the risks and hardships of hamlet interviewing under the leadership of Messrs. Hien, Dinh, Toan, and Hung. We wish to thank Captain Quynh of the South Vietnamese Army General Staff's Combat Development Test Center whose help in paving the way in the field for the Vietnamese Interview Teams is greatly appreciated.

Dr. Ithiel de Sola Pool directed and guided the project with Peter A. McGrath serving as interim director in Vietnam. Gordon Fowler and Richard Peterson, who composed the rest of the research team, devoted many long hard hours both in

Vietnam and in the United States to completing this project. In the United States, Natalie W. Yates assisted with the editing of the report.

Finally, we are grateful for the hospitality extended to us by the eighteen province and forty district advisory teams which were visited during this study.

SUMMARY

The overall purpose of this study was to assess the trustworthiness of the inputs that go into the Hamlet Evaluation System (HES). This is a question of reliability--not validity. Validity refers to a comparison between observations and some absolute criterion of truth about the phenomena observed--in this case, pacification. In the absence of such criteria, validity is impossible to prove. What we attempt to measure in this study is the reliability of inputs as revealed by the extent to which the degree of pacification as it appears to advisors corresponds to the degree of pacification as it appears to other observers.

The results of this study indicate that the Hamlet Evaluation System (HES), as a total system, is basically sound as a reporting device for the entire country and for political divisions down to the district level, and should be continued. A distinction is made, however, between security and development factors. It is the conclusion of this study that the HES is a reasonably reliable method of estimating security trends. The interjudge reliability of the development factors is less clear.

Aggregate data on a hamlet appear to be sufficiently reliable for evaluation of the progress of pacification within districts. Ratings of some specific indicators in a hamlet, however, appear questionable if used to evaluate individual hamlets. If the system is to evolve into a hamlet information bank, as we feel it should, these indicators must be improved.

Our data suggest that there is a relationship between an advisor's knowledge of Vietnamese and the reliability of his overall ratings. The presence of a civilian advisor in a district was also found to be related to reliable overall ratings.

There is strong evidence that certain refinements in the HES guidelines would improve the consistency and quality of ratings.

The evidence indicates that advisors are not inflating their ratings. There is no evidence that indicates an upward bias to advisors' ratings over the length of their tours. There is evidence that advisors tend to make the largest number of rating changes at the beginning and the middle of their tours.

In brief, the HES is currently a very useful tool for measuring the overall progress of pacification in Vietnam. Its potential--as a hamlet information bank and subsequent use as a management device--is even larger.

A. Recommendations Directly Related to HES Reliability:

1. Advisors should increase the cross-checking of information sources so as to improve the possibility that unreliable sources will be identified. (pages 36-37)

2. The size of district advisory teams should vary with the number of hamlets in the district. Whenever possible, advisors with a large number of hamlets to rate should be provided additional personnel, such as an assistant military or civilian advisor. (pages 40-43)

3. A survey of districts should be made to ascertain which districts have transportation problems and within

reasonable limits to attempt to correct these deficiencies. (pages 40-43)

4. It is recommended that emphasis be placed on the advisor's critical selection among the various sources of information in a particular district and not necessarily on using uncritically all information that is available. It is also recommended that advisors develop a system for collecting, recording and filing information reflecting the status of HES factors for each hamlet in the district. It is important that advisors continue to be encouraged to use personal observation as a primary method of data collection. (pages 45-52)

5. We strongly urge the placing of a civilian advisor in as many districts as is feasible. Although this study did not include analysis of civilian background and training, it is as important that the best qualified civilians be selected for district posts as it is for military personnel. The same caveats hold with respect to training civilians as with respect to officers--particularly the need for language training and instruction in the development factors. (pages 103-104)

6. In-country orientation should be improved. The divergence in correlation coefficients for security and development factors (page 24) highlights the need for more training in the developmental factors associated with pacification. (pages 100-102)

B. Recommendations Indirectly Related to HES Reliability:

1. The HES should be further studied to improve the rating reliability on all factors so that the report can be used as a factor data bank on an individual hamlet basis.

The most appropriate research technique to identify what it is that is causing the unreliability of the development factors, and to assess whether the advisors are missing development realities, is a series of five or six deep case studies of rated hamlets and the advisors who rate them. (page 22-30)

2. Guidelines for the HES should be in one continuous loose-leaf manual. (pages 65-73)

3. The instructions should be probed for terminology which might be ambiguous or lack specificity. Such a study should be done line-by-line in the presence of district advisors in order to obtain as precise and uniform standards as possible. (See Annex III for an example of such analysis.) (pages 65-73)

4. The guidelines and the HEW (Hamlet Evaluation Worksheet) should be amended to allow the effects of activities of non-GVN sponsored groups in the private sector to be registered by the HES. (pages 65-73)

5. The print size of the HEW form should be increased; or if that proves unfeasible, every advisor should be provided with a display sample HEW of increased proportions. (pages 65-73)

6. Words of importance or those providing nuances to meanings in the guidelines should be put in italics. (pages 65-73)

7. Short examples of "case studies" or of problems commonly encountered in rating a hamlet should be incorporated in the guidelines with the MACV preferred solution. (pages 65-73)

8. The briefings and lectures which are given to the advisors should emphasize problems and solutions in understanding and applying the rating portions of the guidelines rather than understanding the clerical and mechanical facets of the report. (pages 65-73)

9. The guidelines should tell an advisor that he should feel free to change ratings whenever his experience leads him to a new perception of the situation - even if nothing new has happened in a hamlet. To enable the advisor to feel free to make such changes, the advisor should be told that an asterisk next to a changed rating will be interpreted as a change of that sort rather than a change in the real world. (pages 65-73)

10. The HES report should continue on a monthly basis because it focuses the attention of the advisor on the state of pacification in his district. (pages 77-80)

11. The HES should be emphasized more by higher echelons on lower ones in the sense of "be accurate and thorough." Such added stress, however, should be formulated in such a fashion as to avoid the appearance of a call to show progress or of an order to upgrade the accuracy of the HES. (pages 81-85)

12. The increase and maintenance of command emphasis should be carefully supervised and overseen by establishment of systematic visits to districts by province and corps staffs. (pages 81-85)

13. The gap in personnel efficiency measuring techniques should be filled by specific instructions from MACV on efficiency rating criteria. Measures of efficiency should be tailored to the circumstances in which most advisors must operate. These should emphasize candor and accuracy in reporting rather than progress per se. (pages 86-88)

14. As command emphasis increases, province should continue to permit and encourage district advisors to change ratings up or down as the situation requires. Pressure should not be exerted on district advisors from province, nor should

the district advisor have to justify to province--or any other level--any changes he may make. (pages 89-95)

15. Highly trained and experienced personnel should be channelled to district and province advisory positions. Efforts to obtain biographical data on Vietnamese district and province chiefs should be made so as to facilitate a more rational assignment of U.S. advisory personnel; efforts should be made to assign selected U.S. field grade officers from U.S. tactical units after a period of combat experience to the province and district advisory functions; a review should be made relative to the assignment of the "best" qualified officers to the MACV advisory positions at the district and province level in comparison with those assigned to U.S. tactical units.

16. The amount of language and area training and of training in political and economic analysis should be increased for all province and district senior advisors. Time must be allowed for such training both in the United States and Vietnam prior to assumption of duties. The major objective is to train advisors so as to make them more aware of and sensitive to the political, social and economic problems in their districts. (pages 97-103)

C. Recommendations Related to HES Management Utility:

1. Breakouts of the HES should be prepared in graph form. (pages 74-77)

2. Overlays should be of larger proportions and prepared for use on pictomaps. (pages 74-77)

3. A report on the possible uses of the HES as a management device at corps level should be prepared and distributed

to that level. At the corps level, the HES could be used as a measuring device for cost effectiveness analysis of various pacification programs. (pages 74-77)

4. A report on the possible management uses of the HES at province and district should be prepared and distributed to those levels. At province and district, the HES would provide a ready source of information for advisors indicating to them what programs need attention. Advisors would then be in a much better position to intelligently recommend courses of action to their counterparts. The HES report could also be used by advisors to identify priority areas for military operations. (pages 74-77)

5. Modifications of the present feedback to corps, province, and district levels which make HES data more intelligible must be made before these echelons will utilize the HES as a management aid. (pages 81-85)

PART I

INTRODUCTION

A. PURPOSE

The purpose of this study is to assess the reliability of present inputs from district advisors of the U.S. Military Assistance Command, Vietnam (MACV) to the Hamlet Evaluation System and to suggest ways of improving the inputs.

B. BACKGROUND

In January 1967, at the request of the Secretary of Defense, the U.S. Mission Council in Vietnam initiated the Hamlet Evaluation System (HES), a new reporting device for evaluating the state of pacification throughout South Vietnam. The procedure requires every district advisor each month to evaluate each hamlet in his district according to standardized criteria covering its military, political, economic and social features. After review by MACV advisory personnel at the provincial level, the completed reports are forwarded to Saigon where they are compiled and computerized for a variety of analytic and management purposes.

In June 1967, after several revisions, MACV believed the HES was refined enough to undergo a field test of its reliability. Rather than employ MACV/CORDS personnel who were involved in managing and operating the system, it was

decided that a non-interested organization should conduct the survey. The Army Concept Team in Vietnam (ACTIV), an evaluation unit, was selected to organize the study which was done with The Simulmatics Corporation as contractor. ACTIV's concept for the study was to form a military-civilian team composed of U.S. and Vietnamese nationals. A research plan was developed and tested for feasibility and comprehensiveness. After field pre-testing, the entire team gathered in Saigon, and on August 23 1967, field data collection began.

C. SUPPORT REQUIREMENTS

1. Personnel

Personnel for the survey team were acquired from a variety of sources. Colonel Joy Vallery, U.S.A., Chief of the Unit Training Division at CONARC and formerly head of the U.S. MAAG mission in Colombia, South America, was selected as the military manager. ACTIV supplied its own Lt. Colonel William Yost, as coordinator. The Simulmatics Corporation was contracted to provide the research design, U.S. civilian analysts and data collectors, Vietnamese interviewers and translators, and to write the final report. The 97th Civil Affairs Group, 1st Special Forces, Okinawa, furnished three officers and two enlisted men. Captain Quynh of the South Vietnamese Army General Staff's Combat Development Test Center was obtained to pave the way in the field for Simulmatics' Vietnamese interviewers.

2. Transport

The helicopter and fixed-wing aircraft assigned to ACTIV served as the principal means of moving persons to and from the field. In the Saigon area, jeeps and staff cars assigned to ACTIV were also used.

D. METHODOLOGY

Generally, three methods were used in data collection: interviewing, records research, and direct field observation by U.S. and Vietnamese team members. Only by employing field interviewing and cross checking it with records and field reports and with direct observation of hamlet conditions could adequate data be accumulated to meet the established objectives of this study.

1. Interviewing System

Prior to commencement of full-scale field work, the system was tested for sufficiency. Modifications were minimal. The final plan called first for the division of the HES study group into two components: U.S. military-civilian analysts (MCA's) and Vietnamese interviewers (VIT's). Coordination between them was handled only in Saigon, and they did not appear to the residents of the districts to be working on the same study.

Interviewing was conducted on a corps-by-corps basis. Prior to entering a corps, briefings were obtained from the MACV staff on the general situation in the area, and the Special Joint Reports and the current HES ratings

for the provinces to be visited were reviewed. Briefings at corps headquarters were also obtained. In the field, the MCA's were split into three teams; each team composed of one Special Forces officer and one civilian analyst. The three MCA teams then proceeded to the capital of a province encompassing the districts in which that team was assigned to interview. The MACV/CORDS personnel primarily responsible for reviewing HES at province would be questioned on a variety of HES related topics (See infra Pg. 129 for the questions in this interview). The team then went to the districts selected for investigation where a lengthy formal and informal questioning of the district advisor and the members of his team was conducted. This was always done under conditions of assured anonymity. For that reason, specific names of advisors and districts will not appear in this report. The stay at district headquarters usually lasted overnight. The project manager circulated from unit to unit while the units were in the field. At the termination of scheduled interviewing in a corps area, all units returned to Saigon to prepare for the next corps area. (See infra pg. 120 for the questions in this interview.)

2. Vietnamese Interviewing Routine

The VIT's were broken down into three teams of four to five persons and sent, as needed, into districts also investigated by MCA's. In each such district, they usually

covered from one to seven hamlets depending on a variety of factors such as transport, security and size of the district. Usually from five to seven respondents were selected per hamlet. Additionally, one hamlet official was interviewed, if available, in each hamlet where hamlet inhabitants had been questioned. The interviews covered those factors from the HES rating form about which the respondent could possibly have information. The questions asked of the hamlet officials related to twenty-three of the thirty-five topics covered by HES, those asked the hamlet citizens related to only sixteen of the thirty-five HES topics.* (For content of these interviews, see P.135-141 infra) Unlike the MCA's, the VIT's were not briefed on situations in areas they visited except as to general security.

3. Sampling Techniques--The Sample of Districts

Districts were selected to produce a reasonable spread of typical situations, primarily on the basis of three criteria: (1) geographic setting including population, (2) general security of the district, (3) National Priority Status. This sample was not constructed to mirror the proportion of these three factors on a countrywide basis, but rather to obtain enough examples of each to allow a determination of

*A list of which topics on the HES proved ratable from those interviews can be found in Annex I.

how, if at all, these factors influenced ratings. Although it was realized that other variables such as attitude toward the report, time taken to complete it, etc., might influence the report, the status of districts or these items were then unknown. The three selected criteria were knowable and consequently were chosen as the guidelines.

After assessment of the time frame for the survey and the support resources available, it was decided that approximately forty districts or 18% of those having advisors could be covered. With these guidelines in mind, examples were taken from all four corps reflecting delta, highland, and coastal settings. However, densely populated areas, especially those in III and IV Corps, received the most attention.

The sample extracted by this method drew on two provinces and four districts in I Corps, four provinces and eight districts in II Corps, six provinces and sixteen districts in III Corps and six provinces and twelve districts in IV Corps.

General district security (based on professional military judgment) fell into three categories: those with high security constituted 35% (14) of the sample; those with medium were 37.5% (15); and those with low were 27.5% (11). Twenty-one of the districts fell into the NPA and nineteen did not.

In twenty-eight of the forty districts where MCA's had conducted interviews of district advisory personnel,

the VIT interviewed 543 hamlet citizens and 66 hamlet official respondents from 106 hamlets. The breakdown by Corps was: 17.7% in I Corps; 22.4% in II Corps; 28.1% in III Corps; and 32.8% in IV Corps. As evaluated by the HES, the hamlets selected had a spread from A, completely pacified, through D, pacification only meagerly developed: 0.9% were A; 42.6% were B; 39.6% were C; and 16.9% were D. No interviews were conducted in the two least controlled areas, E and VC, since security constraints were always too severe to make field surveying in such areas feasible.

4. Record Research

As previously indicated, prior to entering the field, the MCA's were familiarized with conditions by reading the Special Joint Reports and the HES for the areas visited. In addition to these, the personnel files of the officers interviewed were checked to provide further material for analysis.

5. Direct Observation

While interviewing at the district level, hamlets were usually visited and questions asked regarding reasons for rating the hamlets as they were. In addition, the Vietnamese interviewers often made notations of their observations about HES-related matters.

6. Relation of Data Collection Methods to Objectives

Each of the three general collection methods: interviewing, records research and direct observation related

in numerous ways to each objective. However, for the sake of clarity, a discussion of the relation of collection methods to objectives is appropriate.

a. Objective 1. Evaluate the sources of information used for HES.

(1) Interviews. Approximately seventeen questions in the district advisor interview provided data on the advisor's sources for the HES, such as what sources were used and why they were accepted. The questioning of hamlet officials yielded information on approximately twenty-three of the thirty-five topics covered by the HES and the responses of hamlet inhabitants produced material on approximately sixteen of the thirty-five HES topics.* Comparing an advisor's HES ratings of a hamlet with the information generated by hamlet level interviewing in the fashions set out under Objective 1 in Part II below, provided one test of the reliability of the HES ratings.

(2) Records Research. Records research for this objective was limited to extracting the ratings for the hamlets where interviews were conducted.

* See Annex I for a list of these HES topics which proved rateable.

(3) Direct Observation. Direct observation was used to gauge the testimony of the district advisor, his interrogation methods while visiting villages, and his relations with the district chief and his staff.

b. Objective 2. Evaluate district advisor data collection methods.

(1) Interviews. Approximately twenty questions in the district advisor interview revealed the scope and nature of his data collection methods. This information, as discussed below under Objective 2 in Part II of the report, allowed judgments on the soundness of these methods and possible improvements.

(2) Records Research. No records research was done under this objective.

(3) Direct Observation. Considerable observation of the charts, graphs, and files of the district advisor contributed to discovering the scope and nature of his data collection methods and reaching a judgment on their soundness and possible improvement.

c. Objective 3. Evaluate district advisor rating methods.

(1) Interviews. Approximately twenty-three questions in the district advisor interviews produced information on the advisor's rating methods in relation to his understanding of the HES guidelines and worksheet. From this

information some suggestions for improvements were generated and are discussed under Objective 3 in Part II.

(2) Records Research. Research here was limited to the extracting of the HES ratings and studying the guidance for completing the report.

(3) Direct Observation. Direct observation played no part in achieving this objective.

d. Objective 4. Determine the impact of HES reporting requirements on accomplishments of other advisory tasks and the utility of feedback of the HES as a management device.

(1) Interviews. Approximately fifteen questions in the district advisor interview and eight in the interview of the party most responsible for review of the HES report at the province level yielded data on time taken to complete the report, clarity of instructions, duplications in the HES of other reports, utilization of the HES as a management device, desired frequency for submission of the report, and a command emphasis on the HES. This data was used for a host of analyses discussed under Objective 4 in Part II.

(2) Records Research. Records research was not utilized for this objective.

(3) Direct Observation. Direct observation was not utilized for this objective.

e. Objective 5. Determine the effects of the implied performance rating inherent in the HES report upon objectivity of reporting.

(1) Interviews. Approximately fifteen questions in the district interviews and eight in the sector interviews produced information on such matters as how efficiency reports were prepared, how the district advisors perceive that they were prepared, the role of the HES in preparing efficiency reports, and the influence of GVN officials on the HES ratings. This method was used in the analyses appearing under the discussion of Objective 5.

(2) Records Research. HES ratings were extracted for all districts in which MCAs interviewed and put into graph forms, set out under Objective 5 in Part II, to determine the course advisors' ratings took during their tours.

(3) Direct Observation. Direct observation was not employed in relation to this objective.

f. Objective 6. Determine the requirement for training of subsector advisors and team members in order to optimize HES reporting efforts.

(1) Interviews. About seven of the questions produced information on the training and background of the personnel completing the HES. This information was employed in analysis of how training and experience influenced the HES. (Objective 6).

(2) Records Research. Personnel files were used to complete the profiles of district advisors.

(3) Direct Observation. Direct observation was not used in achieving this objective.

7. Data Reduction

The primary sources of data for this study are four interview forms (addressed to the province advisors, district advisors, hamlet chiefs, and hamlet citizens) and the HES report.

Content analysis of the province advisor and district advisor interview forms was used to extract information relevant to answering the questions raised by this study. All of the district advisor variables (such as time spent on the report, attitude toward the report, etc.) were constructed from information obtained in the district advisor interview form. The one exception to this was data on the military background of district advisors which was obtained both from the interview form as well as the J-1 personnel files.

Content analysis of the hamlet chief and hamlet citizen interview forms provided the basis for the three rating methods which appear in this study. Each interview was read in its entirety. Ratings were then made using the HES criteria contained in the guidelines and the HEW. Frequently, information on a particular indicator or problem area was found in the answers to a variety of questions in the interview. It is thus impossible to establish a rigid one to one relationship between questions in the interviews and items in the HES.

In general, however, HES indicators were rated based on responses to the following questions in the two interview forms:

Indicator	Hamlet Chief Interview question number(s)	Hamlet Citizen Interview question number(s)
(1c) VC Military incidents affecting Hamlet	14, 18b, 35 37, 38	7-12, 14, 15
(2c) VC Political and Subversive Activities affecting Hamlet	31, 35-40	
(3a) Hamlet Defense Plan and Organization	41	14, 37
(3b) Friendly External Force (FEF) Assistance	41-43	14, 37
(4a) GVN Government Management	32	17, 23-25
(4b) GVN Response to Popular Aspirations	18g	29, 30
(4c) Information/ PSYOP Activities	18d, 18f, 47	16-19
(5a) Medical Services and Public Health	18i	1, 2
(5b) Education	18h	20-22
(5c) Welfare	15,17,19,24-26	5, 6, 31-33
(6a) Self-Help Activity; Civic Action	18g, 21, 22	26-30
(6b) Public Works	10, 18g, 27	26-30, 34-36
(6c) Economic Improvement Programs	19, 20, 27, 29, 30	3-5, 32

Problem Areas	Hamlet Chief interview number(s)	Hamlet Citizen interview number(s)
(1) Incidents of Misconduct by friendly elements	54	13
(2) Actions during military operations adversely affecting relations with hamlet populace	54	3, 4, 13
(5a) Supplies from GVN sources for self-help projects	23-28	
(6a) Local sources of drinking water	9-11	
(6b) Plans and/or work underway to improve local drinking water supply	10	
(7a) Percent Refugees	17	33
(7b) GVN Refugee Assistance	24-27	
(8a) VC Taxation	35, 36	
(8b) GVN Taxation	31	
(10) Condition of main routes from the hamlet	12-14	14, 15

A set of ratings (on each rateable indicator and problem area) was made for each hamlet citizen interviewed. From these ratings a set of consensus ratings was made for the hamlet. Thus, if for five hamlet citizens on a particular indicator there were two D(2) ratings, one C(3) rating, and two B(4) ratings, then the consensus rating for the hamlet would be a C(3) on that particular indicator. This averaging procedure was then

carried out for all rateable indicators and problem areas. Averaging the consensus ratings for each indicator then yielded the hamlet average for the hamlet citizens. Problem area ratings were not included when calculating the hamlet average.

The hamlet average for the hamlet chief was calculated by taking a simple average of the ratings on each indicator.

The ratings of the analysts were based on their subjective selection from the whole range of hamlet citizen and hamlet chief ratings. A subjective rating (always within the upper and lower limits set by the hamlet citizens and hamlet chief ratings) was then made on each indicator and problem area. The same procedure was then used to obtain a hamlet average under this method as was used with the hamlet citizen and hamlet chief.

It should be emphasized that an element of subjectivity was present under all three rating methods. That is, in making the hamlet citizen and hamlet chief ratings the analysts were subjective in their interpretation of the interview responses, while in making their own ratings they were subjective in their selection of rated interview responses.

8. Data Analysis

Three sets of hamlet ratings were generated from our Vietnamese interviews: villager, hamlet chief, and the analysts' subjective ratings. Each of these was then statistically compared to the HES ratings. The technical term for the method used is "product moment correlation" or "coefficient of correlation."

A brief note on this technique is in order here. Correlation is a question of concomitant variations, i.e. the closeness of the relation between two variables. Put another way, it is a measure of the degree to which a change in one variable is associated with a change in another. It also measures the degree to which the knowledge of one variable enables one to predict the other.

Predictability or closeness of association is high if the correlation coefficient is near +1 (or -1 for negative relationships). That is, the variability of the dependent variable is nearly as great as that of the independent variable -- one variable is capable of "explaining" nearly all of the variation in the other variable. For our purposes, the correlation coefficients will indicate the degree to which the same ratings made by advisors in the HES will be reproduced using alternate methods. This technique is a relative measure of reliability.

villager and hamlet chief interviews as sources, they made a rating trying to follow the procedure that an advisor uses. Each of these comparison ratings is itself unreliable to a considerable degree, as is the advisor's rating too. Each is an estimate of the same reality but with random variation. Since that is the case, any measure of agreement between them is bound to be lower than the same measure as applied (if we could apply it) to a comparison of the advisor's ratings with some criterion of the actual situation.

To evaluate the comparison of the advisor's ratings with independent ratings we used two alternative sets of statistics. 1. We computed the coefficients of correlation between the advisor's ratings and those of the hamlet citizens, the hamlet chiefs, and the analysts. 2. We computed the percent of hamlets in which there was agreement between the HES and hamlet citizens, the hamlet chiefs, and the analysts.

Either statistic alone is subject to misinterpretations. In particular, the percentage agreement can be misleading if it is not compared with the percentage of agreement that would arise simply by chance. For instance, two persons calling heads and tails will agree about half the time. The same phenomenon of some agreements by chance applies to the rating of hamlets. We therefore calculated the expected chance agreement and compared the actual agreement with that figure to ascertain how much better the actual performance was than chance. These procedures are more fully explained

in a footnote.*

The substantive results that arise from this analysis are [illegible]:

1. The HES ratings as a whole are in good agreement with ratings given by hamlet chiefs.

2. The HES ratings as a whole are in lesser agreement with ratings given by our analysts or hamlet citizens.

3. HES ratings on security factors seem highly reliable as measured by agreement either with hamlet chiefs or independent analysts.

4. HES ratings on development factors are less reliable than the ratings on security factors.

5. Advisors' ratings are substantially more optimistic about development factors than are those provided by other sources.

6. Advisors' ratings are no more optimistic, even perhaps slightly more pessimistic, about security factors than are those provided by other sources.

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*Each grade on the Hamlet Evaluation Worksheet was converted to a numerical score: A=5, B=4, C=3, D=2, E=1. The factor scores for each hamlet were averaged, giving a numerical score on a continuous variable with a potential range from 1.0 to 5.0. A similar numerical score was calculated for the ratings by the hamlet chiefs and the analysts. The distributions are graphed in Appendix VII. The distributions all show satisfactory spread and various degrees of deviation from normality. Product moment coefficients of correlation were calculated.

The same distributions were also used to calculate the expected chance agreement between the HES and other ratings. We took the actual distribution of scores by a type of rater (advisor, hamlet chief, citizen, or analysts) as the estimate of his *a priori* propensity to rate at each level. Multiplying these pairs of frequencies from these distributions gave us an expected agreement that would appear even if the facts in any particular village had no impact at all in producing agreement.

7. Advisors are more optimistic than other sources in their over-all ratings.

The following table presents the comparison between the HES ratings and the hamlet chiefs' and analysts' ratings in terms of percentage agreement. Other relevant statistics are given in a footnote.*

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*The coefficients of correlation found are as follows:

Interviews with hamlet citizens and the HES	.07
Interviews with hamlet chiefs and the HES	.35
Subjective ratings by analysts and the HES	.23
Hamlet chiefs and the HES on security factors	.53
Hamlet chiefs and the HES on development factors	.30
Analysts and the HES on security factors	.53
Analysts and the HES on development factors	.14

The hamlet citizens did not have information enough to permit a comparison of their views on security factors and development factors separately. The overall percentage agreement between hamlet citizens and the HES ratings is as in the following table.

The only differences taken individually that are statistically significant are the ratings of the security factors. These HES ratings are highly reliable by our measures. It should be noted, however, that in every single case, the agreements between the independent observations and the HES are better than chance. Taken together even the development ratings are significantly better than chance. Taken all together, the uniform pattern of the results is of course highly significant. The most important thing to note in the individual figures is the systematic difference between the security and the development factors. The latter are responsible for most of the divergences in judgments.

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COMPARISON WITH HAMLET CHIEFS' RATINGS

	SECURITY FACTORS			DEVELOPMENT FACTORS			OVERALL RATING		
	Actual %	Chance %	Difference %	Actual %	Chance %	Difference %	Actual %	Chance %	Difference %
HES optimistic by more than one letter grade	6.1	12.2	- 6.1	21.2	28.3	- 7.1	10.6	18.4	- 7.8
HES within one letter grade (difference ≤±1.0)	81.8	65.6	+16.2*	72.7	64.3	+ 8.4	84.8	71.7	+13.1
HES pessimistic by more than one letter grade	12.1	22.2	-10.1	6.1	7.4	- 1.3	4.6	9.9	- 5.3
Number of Hamlets	66			66			66		

COMPARISON WITH ANALYSTS' RATINGS

HES optimistic by more than one letter grade	5.8	16.1	-10.3	38.7	42.8	- 4.1	29.2	31.6	- 2.4
HES within one letter grade (difference ≤±1.0)	86.7	67.6	+19.1*	60.4	53.1	+ 6.7	68.9	65.3	+ 3.6
HES pessimistic by one than one letter grade	7.5	15.8	- 8.3	.9	5.2	- 4.3	1.9	3.1	- 1.2
Number of Hamlets	106			106			106		

*Statistically significant at the .02 level or better

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COMPARISON WITH CITIZENS'

OVERALL RATINGS

	Actual %	Chance %	Difference %
HES optimistic by more than one letter grade	29.2	29.8	- 0.6
HES within one letter grade (difference +1.0)	68.9	66.8	+ 2.1
HES pessimistic by more than one letter grade	1.9	3.2	- 1.3
Number of Hamlets	106		

2. Conclusion

The fact that a substantial number of the overall hamlet averages fall within one letter grade of the HES rating indicates that the HES, as a total system, is basically sound as a reporting device for the entire country and for political divisions down to the district level (as will be shown on page 44). It is also clear from the above correlation coefficients that the ratings on the security factors are more reliable than those on the development factors. The advisors, the hamlet chiefs, and our analysts agree in evaluating hamlet security to a degree that would certainly allow a rating system to be acceptably good. It is the conclusion of this study that the HES is a reasonably reliable method of estimating security trends. Security criteria are apparently reasonably well understood. The interjudge reliability of the development factors is less clear. They are not seen by the advisors in the same way as by the hamlet chiefs or our analysts. That is not to say the advisors are wrong. They may be the right ones. It only says that there is a lack of a common understanding which does call for clarification.

Because of the low correlation on some individual indicators, the HES at this date is not sufficiently reliable for confident assessment of these individual indicators in a hamlet - although aggregate data on a hamlet appears to be sufficiently reliable. If the system is to evolve into a hamlet information bank, as we feel it should, these indicators must be improved.*

*The use of the HES as a management device is discussed more fully in Section 4D of this report.

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The discrepancy between the security factors and the development factors raises many questions which can only be partially answered by this study. For one thing, is there a lack of awareness of non-military problems (i.e., developmental factors) by advisors; and, if so, how can it be overcome? The two tables below appear to indicate that the presence of a civilian at the district level and that a language capability by the district advisor are associated with an above average awareness of non-military problems. Ranking of advisors was based on replies to questions on the district political and economic power structure.

These tables and those which follow contain figures both in percentage and absolute terms. Cell percentages are based on the total column sum. Thus, this first table is read by comparing cell percentages for those districts with and those districts without a civilian advisor present. In 61.5% of those districts where a civilian advisor is present this study also found an advisor with above average awareness of non-military problems. However, above average awareness of non-military problems was found in only 33.3% of those districts where a civilian advisor was not present. Thus, the presence of a civilian advisor (the independent variable is always the variable at the top of the table) is said to be associated with the awareness of non-military problems (in this case, the dependent variable).

TABLE 1. CIVILIAN ADVISOR PRESENT AND AWARENESS OF NON-MILITARY PROBLEMS*

		Civilian Advisor Present					
		YES		NO		TOTAL	PERCENT
		%	No.	%	No.		
Awareness of Non-Military Problems	Above Average	61.5	8	33.3	9	17	42.5
	Average	23.1	3	33.3	9	12	30.0
	Below Average	15.4	2	33.3	9	11	27.5
	Total		13		27	40	
	Percent	32.5%		67.5%			100%

Cell percent based on column sum.

*The failure of many computer tables to add up to exactly 100% is due to programming of the computer to round numbers to the nearest tenth.

TABLE 2. LANGUAGE CAPABILITY AND AWARENESS OF NON-MILITARY PROBLEMS

		Language Capability: YES		NO		TOTAL	PERCENT
		%	No.	%	No.		
Awareness of Non-Military Problems	Above Average	55.6	10	31.8	7	17	42.5
	Average	16.7	3	40.9	9	12	30.0
	Below Average	27.8	5	27.3	6	11	27.5
	Total		18		22	40	
	Percent	45.0%		55.0%			100.0%

Cell percent based on column sum.

These results suggest that military advisors who do not know Vietnamese do not do a fully reliable job on development factors. It should be noted that those advisors with above average awareness of non-military problems do agree a little more with the ordinary villagers than do the others, as the following table shows.

TABLE 3. AWARENESS OF NON-MILITARY PROBLEMS AND DIVERGENCE OF ADVISOR'S HES RATING FROM VILLAGERS'

		Awareness of Non-military Problems							
		Above Average		Average		Below Average			
		Percent	No.	Percent	No.	Percent	No.	Total	Percent
Divergence of Advisor's HES Rating from Villagers'	More than One Letter	26.7%	4	40.0%	2	37.5%	3	9	32.2%
	One Letter or Less	73.3%	11	60.0%	3	62.5%	5	19	67.9%
	Total		15		5		8	28	
	Percent	53.6%		17.9%		28.6%			100.0%

Cell percent based on column sum

Recommendation:

The HES should be further studied to improve the rating reliability on all factors so that the report can be used as a factor data bank on an individual hamlet basis. The most appropriate research technique to identify what it is that is causing the unreliability of ratings of the development factors, and to assess whether the advisors are missing development realities is a series of five or six deep case studies of rated hamlets and the advisors who rate them. Such a technique would facilitate analysis of the process by which advisors arrive at their ratings. It would mean studying the background, experience and education of the advisor to determine why his perception of a hamlet is as it is. It would also mean studying the hamlet itself to determine how conditions in it affect perception of the

advisor and hence his ratings. As a result, such studies would determine whether the advisor or hamlet citizen and/or official is more knowledgeable with respect to the development factors.

OBJECTIVE 1: EVALUATE THE SOURCES OF INFORMATION USED FOR HES

A. What are the Sources?

1. Findings:

The sources of information used in completing the HES report include the following. The sources are presented in order of declining degree of use and frequency of mention by the sampled advisors. The percentages show the amount of emphasis placed on the sources in each corps. The sources break down into two major categories, Vietnamese and U.S.

TABLE 4

RELATIVE IMPORTANCE OF SOURCES

MENTIONED BY ADVISORS

Vietnamese Sources	Corps I	II	III	IV	RVN
District chiefs	20	15	8	20	15
Village and hamlet chiefs	10	7	11	11	9
District Intelligence Officers (S-2)	--	10	8	11	7
Revolutionary Development Cadre	5	5	13	2	6
Other district employees	5	7	6	2	5
District advisory team interpreters	5	5	2	4	4
Vietnamese intelligence agents	--	7	6	--	3
Militia units (RF/PF)	--	2	4	2	2
Combined district intelligence centers (DOICC)	--	--	6	--	2
Provincial Reconnaissance Units (PRU)	--	--	2	4	2
Hoi Chanh	--	--	4	--	1
Police Field Forces (PFF)	--	2	--	--	1
Total percent of Vietnamese sources	45	60	70	56	56

Table 4 continued on next page.

TABLE 4 (Continued)

U.S. Sources	I	II	III	IV	RVN	
Personal knowledge of senior district advisor	22	19	7	21	18	P
Records and reports	17	3	8	6	9	E
Provincial intelligence officer (S-2)	11	5	2	11	7	R
U.S. Military units	5	7	4	-	4	
Personal knowledge of the assistant senior district advisor	-	3	5	4	3	C
Personal knowledge of other advisory team members	-	-	4	-	1	E
Civic action teams	-	3	-	-	1	N
Provincial Civilian Affairs Officer (S-5)	-	-	-	2	1	T
Total U.S. Sources	55	40	30	44	44	
	100	100	100	100	100	

Percent based on total of 202--the total number of sources mentioned by all advisors.

Nationwide, approximately 56% of the information used to complete the HES derived from Vietnamese sources, 44% from U.S. sources. Since the above figures were derived only from advisors who mentioned the sources, the percents do not necessarily suggest that, for example, 56% of all sampled advisors used Vietnamese sources

The following table indicates what percent of the 40 district advisors in this sample mentioned each of the following sources. The most frequently mentioned source was "personal knowledge of the senior district advisor" (90% of the 40 advisors). The second most frequently mentioned source was "district chiefs" (75% of the 40 advisors).

TABLE 5. PERCENT OF ADVISORS MENTIONING EACH SOURCE

Vietnamese Sources	% of Advisors using source (base for %'s is 40)	Number of Advisors (out of 40)
District Chiefs	75%	30
Village and Hamlet Chiefs	45%	18
District Intelligence Officers	35%	14
RD Cadre	30%	12
Other District employees	25%	10
Dist. Adv. Team Interpreters	2 %	8
Vietnamese Intelligence Agents	15%	6
Militia Units (RF/PF)	10%	4
Combined District Intelligence Centers (DOICC)	10%	4
Provincial Reconnaissance Units (PRU)	10%	4
Hoi Chanh	5%	2
Police Field Forces	5%	2
U.S. Sources		
Personal knowledge of senior district advisor	90%	36
Records and reports	45%	18
Provincial intelligence officer (S-2)	35%	14
U.S. Military units	20%	8
Personal knowledge of the assistant senior district advisor	15%	6
Personal knowledge of other advisory team members	5%	2
Civic Action Teams	5%	2
Provincial Civilian Affairs Officer (S-5)	5%	2

2. Conclusion:

The Vietnamese provide the largest number and the greatest variety of information sources for the HES. More information is gained from personal contact with counterparts and other Vietnamese officials than from reports, either Vietnamese or U.S. The advisor's personal knowledge of the district provides a very important source of information.

B. Reasons Given by Advisors for Acceptance of Sources

1. Findings:

There were one to three reasons given for acceptance of a source. Either the source was characterized as the only available source, or it was said to have been dependable in the past or said to confirm other information.

Direct information was considered by the great majority of the advisors to be the most reliable source of information. Few advisors (13%) used both U.S. sources (other than advisory team observations) and Vietnamese sources. Greater reliance was placed on Vietnamese sources of information than on U.S. sources. Advisors in 70% of the districts said only Vietnamese sources were available to them, and thus had to be relied upon, while U.S. sources were the only ones said to be available in 17% of the districts.

Of the advisors who mentioned Vietnamese sources, 60% said they were used because they had proven dependable in the

past, while 33% of those mentioning U.S. sources said they used them because of proven dependability. In 50% of the districts, the advisors stated they used Vietnamese sources of information primarily to confirm their own observations and other U.S. information, while in 33% of these districts their own observations and other U.S. sources were said to be used primarily to confirm Vietnamese information. Direct observation was mentioned as the prime source of U.S. information in 90% of all the districts covered by the survey. The following table summarizes the above data by corps area.

TABLE 6. REASONS FOR USING SOURCE

	Corps					
	I	II	III	IV	RVN	
Vietnamese						
Only available source other than self	75	88	50	83	70	%
Dependable in past	50	63	50	75	60	
For cross-check on U.S. information	25	50	62	42	50	OF
U.S.						
Only available source	0	25	31	0	17	DI
Dependable in past	25	25	44	25	33	ST
For cross-check on VN information	0	25	44	33	33	RI
Direct observation as prime source	100	75	100	83	90	CT
Number of districts	4	8	16	12	40	S

2. Conclusion

Vietnamese sources of information are accepted by the district advisors for the most part by default; they feel

that there are no other sources to which to turn. However, they have been found to be generally reliable. In over fifty percent of the districts, advisors were pleased with their Vietnamese information sources and, in more than a few cases, advisors commended their Vietnamese sources very highly. Nevertheless, the advisor relies most heavily on his personal knowledge of the district acquired through direct observation. Familiarity with his district also provides the advisor with a useful method of cross-checking Vietnamese information.

C. How Reliable Are These Sources?

1. Findings

The table below indicates the relationship between the primary source of information the advisors stated they relied upon and the degree of agreement with the subjective ratings of the analysts.*

TABLE 7. SOURCE OF HAMLET INFORMATION AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'.

		Source of Hamlet Information							
		Mostly VN		US		BOTH		TOTAL	%
Divergence of Advisor's HES Rating from Analysts'	HES	%	No.	%	No.	%	No.		
	High	30.8	4	20.0	1	20.0	2	7	25.0
	Agree	69.2	9	80.0	4	70.0	7	20	71.4
	HES Low					10.0	1	1	3.6
	Total		13		5		10	28	
	Percent	46.4		17.9		35.7			100.0

CELL PERCENT BASED ON COLUMN SUM

*The apparent discrepancy between this table's percentages and those presented in the table contained on Page 35 under Objective 1B is due to the fact that here we include the advisory team's own observation as a source whereas these were excluded previously.

The table shows that those advisors who used only Vietnamese sources may be slightly more optimistic in their HES ratings as judged by deviation from the analysts' subjective ratings than those advisors who relied on United States sources.

This result is suggestive only, however. It does not reach statistical significance. This same relationship was found using the divergence of the advisor from the villagers' and the hamlet chiefs' views.

2. Conclusion

Reliance on Vietnamese sources alone may lead to over-optimistic reporting.

3. Recommendation

To improve the possibility that unreliable sources will be identified, advisors should increase the cross-checking of information. It is also recommended that advisors request information, particularly on developmental factors, from available U.S. agencies to include U.S. civil affairs unit specialist and survey teams.

OBJECTIVE 2: EVALUATE THE DISTRICT ADVISOR'S DATA COLLECTION METHODS

A. What Are the Data Collection Methods?

1. Findings

Our interviews indicate that hamlet data is obtained by the advisor through five lines of communication. These lines are:

a. Review of records and reports.

b. Personal knowledge of the hamlet.

c. Communication with U.S. sources.

d. Communication with GVN sources (official).

e. Communication with GVN sources (unofficial).

Information passed to the advisor through all these channels though with varying degrees of frequency. A breakdown of the frequency with which these lines of communication were used is shown below:

TABLE 8. DATA COLLECTION METHODS

1. Review of Records and Reports

	I Corps	II Corps	III Corps	IV Corps	Totals
Used extensively	50%	25%	40%	33%	37%
Used moderately	25%	50%	40%	33%	37%
No use	25%	25%	20%	35%	26%
Number of Districts	4	8	16	12	40

2. Personal Knowledge of the Hamlet

	I Corps	II Corps	III Corps	IV Corps	Totals
Used extensively	50%	25%	50%	33%	40%
Used moderately*	50%	50%	50%	50%	50%
No use	0%	25%	0%	17%	10%
Number of Districts	4	8	16	12	40

3. Communication with US sources

	I Corps	II Corps	III Corps	IV Corps	Totals
Used extensively	25%	14%	20%	0	15%
Used moderately	0	25%	30%	33%	28%
No use	75%	61%	50%	67%	57%
Number of Districts	4	8	16	12	40

4. GVN Communication with U.S. District Team (Official)

	I Corps	II Corps	III Corps	IV Corps	Totals
Used extensively	50%	25%	38%	33%	35%
Used moderately	50%	5%	31%	67%	48%
No use	0%	25%	31%	0%	17%
Number of Districts	4	8	16	12	40

*In some cases where personal knowledge was used moderately, other lines of communication were used extensively.

5. GVN Communication with U.S. District Team (Unofficial)

	I Corps	II Corps	III Corps	IV Corps	Totals
Used extensively	25%	25%	46%	25%	33%
Used moderately	75%	50%	25%	75%	50%
No use	0%	25%	31%	0	17%
Number of Districts	4	8	16	12	40

Personal knowledge and GVN sources were the universally and most used sources. Advisors indicated that, where possible, they rely more heavily on personal observation than on any other data collection method (See Objective 3 A). As would be expected, the degree to which they are able to visit the hamlets in their district depends on the absolute number of hamlets in the district.

The following table illustrates that advisors with less than forty hamlets to rate tend to visit over eighty percent of them. On the other hand, advisors with more than eighty hamlets to rate tend not to visit a large percentage of them.

TABLE 9. NUMBER OF HAMLETS RATED AND PERCENT OF HAMLETS VISITED

		Number of Hamlets Rated							
		1-39		40-79		80 Plus		Total	Percent
		%	No.	%	No.	%	No.		
Percent of Hamlets Visited	80 Plus	58.8	10	31.2	5	16.7	1	16	41.0
	60-79			43.7	7	50.0	3	10	25.6
	0-59	41.2	7	25.0	4	33.3	2	13	33.3
	Total		17		16		6	39	
	Percent	43.6		41.0		15.4			100.9

Cell percent based on column sum.

The following two tables show that the availability of transportation and the advisor's perception of security in his district influence the degree to which he visits the hamlets in his district. When transportation is readily available ("above average"), an advisor tends to visit over eighty percent of the hamlets in his district. Likewise, when security is perceived to be high or medium, a higher percentage of hamlets are visited than when security is perceived to be low.

TABLE 10. TRANSPORTATION CAPABILITIES AND PERCENT OF HAMLETS VISITED

		Above Average		Average		Below Average		Total	Percent
		%	No.	%	No.	%	No.		
Percent of Hamlets Visited	80 Plus	50.0	8	27.3	3	41.7	5	16	41.0
	60-79	31.2	5	18.2	2	25.0	3	10	25.6
	0-59	18.7	3	54.5	6	33.3	4	13	33.3
	Total		16		11		12	30	
	Percent	41.0		28.2		30.8			100.0

Cell percent based on column sum.

TABLE 11. ADVISOR'S SECURITY PERCEPTION AND PERCENT OF HAMLETS VISITED

	HIGH		MEDIUM		LOW			
	%	No.	%	No.	%	No.	Total	Percent
80 Plus	42.9	6	57.1	8	18.2	2	16	41.0
60-79	35.7	5	21.4	3	18.2	2	10	25.6
0-59	21.4	3	21.4	3	63.6	7	13	33.3
Total		14		14		11	39	
Percent	35.9		35.9		28.2			100.0

Cell percent based on column sum.

2. Conclusion

Advisors accumulate data for the HES report by a variety of methods, formal and informal, written and verbal, Vietnamese and U.S. The degree to which any of these channels of communication are used depends on the amount and quality of information relevant to the HES that flows through

them. The degree to which an advisor is able and/or willing to use personal observation is associated with the number of hamlets he has to visit, the transportation available and his perception of the security situation.

3. Recommendation

The size of district advisory teams should vary with the number of hamlets in the district. Whenever possible, advisors with a large number of hamlets to rate should be provided additional personnel such as an assistant military or civilian advisor. A survey of districts should be made to ascertain which districts have transportation problems and within reasonable limits to attempt to correct these deficiencies.

B. How Sound Are These Data Collection Methods?

1. Findings

In twenty-eight of the districts it was possible to collect not only interviews with the advisors but also interviews with villagers. Interviews with hamlet chiefs were collected in twenty-two of these twenty-eight districts. The result is a comparison of the advisors' ratings with an independent rating. The independent rating is not necessarily a correct one. We are about to offer some data which suggests that when they differ the advisors' rating may sometimes be the more reliable one and sometimes the less. The point is that

we do now have different independent pacification measures to compare. They come out similarly in overall distribution.

Advisors were grouped into three categories depending on whether their average district rating was above, equal to, or below the average district rating generated by the independent evaluation by our analysts. The table below summarizes the relationship between an advisor's HES ratings and his agreement with our analysts' ratings.*

The HES rating is more optimistic than analysts's rating by more than one letter grade on the average in	seven (7) districts
The HES rating agrees with analysts' rating to within one letter grade in	twenty (20) districts
The HES rating is more pessimistic than analysts' rating by more than one letter grade on the average in	one (1) district

*The same basic relationship held also for the villagers' and hamlet chiefs' ratings.

2. Conclusion

The HES ratings are quite close to those of independent raters. In twenty of twenty-eight districts substantially the same picture emerges from an independent evaluation as from the HES.

The HES scores given by district advisors are more optimistic than the scores that our analysts arrived at using villager and hamlet chief interviews.

This systematic small difference between our analysts' judgments and those of district advisors does not cast doubt upon trends in HES scores. A difference in the baseline does not affect the trend.

3. Findings

The finding that there is some divergence of the HES scores from our analysts' judgments in the direction of optimism by the HES requires that we look carefully to see if we can identify who the optimists are. Are they experienced advisors or inexperienced ones? Are they careful raters or are they slipshod ones?

To answer these questions, we present below data comparing conditions under which high, equal, and low HES grades were produced, compared to our analysts' grades. We present this data even though, based as it is on twenty-eight cases, it is seldom statistically significant. This is justified since the trend of the data rebuts the hypothesis that concerns us.

What concerns us is the possibility that the optimism of the HES was solely due to poor and slipshod data collection methods. We would be satisfied if we found, on the contrary, that there were no differences in methods between optimists and others. What we do find often is a stronger result. The optimists sometimes have better data collection. That is not a statistically significant finding either but the feared reverse finding is clearly refuted. Different methods of data collection do produce different results, but no general gross error in method of data collection appeared.

What we will find in subsequent sections is that the optimists are more thorough, have more experience, spend more time on their reporting, exclude civilians, know less Vietnamese, and visit hamlets less.

An index of the extent of data collection methods was constructed based on the degree to which the five sources identified in 2a were used by an individual advisor. Advisors who used two or less of the five sources were grouped as "not very thorough"; those who used three of the five sources were grouped as "thorough"; those using four or more of the sources were grouped as "very thorough".

The next table indicates that the more extensive the advisor's data collection methods are, the more likely he would be to rate higher than the methods of this study.

TABLE 12. EXTENT OF DATA COLLECTION METHODS AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Extent of Data Collection Methods: Very Thorough		Thorough		Not Very Thorough		Total	Percent
		%	No.	%	No.	%	No.		
Divergence of Advisor's HES Rating From Analysts'	HES High	42.9	3	20.0	3	16.7	1	7	25.0
	Agree	57.1	4	80.0	12	66.7	4	20	71.4
	HES Low					16.7	1	1	3.6
	Total		7		15		6	28	
	Percent	25.0		53.6		21.4			100.0

Cell percent by column sum.

This encouraging result should be emphasized. It suggests that the advisor's greater optimism rather than the relative pessimism of our analysts or of the hamlet chiefs or residents may be well founded. This issue should be clarified by case studies, as noted elsewhere in this report.

We turn now to consider the level of ratings arrived at by the advisor as a function of individual sources and ways of securing them. It should be re-emphasized that these results, like the summary results, are only suggestive, not definitive.

The degree to which written records were available at district level was categorized into "above average", "average", and "below average". This variable was then compared to whether or not an advisor agreed with our ratings (see table below). For two of our three independent ratings agreement was highest when the advisor had access to above average written

records.

TABLE 13. WRITTEN RECORDS AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

	Written Records: Above Average		Average		Below Average		Total	Percent
	%	No.	%	No.	%	No.		
HES High	10.0	1	44.4	4	22.2	2	7	25.0
Agree	90.0	9	44.4	4	77.8	7	20	71.4
HES Low			11.1	1			1	3.6
Total		10		9		9	28	
Percent	35.7		32.1		32.1			100.0

Cell percent by column sum.

The following table indicates that the quality of written records tends to improve with the length of time an advisor spends at the district. Those advisors with more than seven months experience at a district were much more likely to have above average written records or have access to them.

TABLE 14. TIME AT DISTRICT AND WRITTEN RECORDS

		Time at District 1-3 Months %	No.	4-7 Months %	No.	7 Months Plus %	No.	Total	%
Written Records	Above Average	22.2	4	33.3	2	43.7	7	13	32.5
	Average	27.8	5	50.0	3	31.2	5	13	32.5
	Below Average	50.0	9	16.7	1	25.0	4	14	35.0
	Total		18		6		16	40	
	Percent	45.0		15.0		40.0			100.0

Cell percent by column sum

It must be noted, however, that the longer an advisor has spent in the district the less he is likely to agree with the ratings generated by the three independent methods of this study, generally in the direction of optimism. The relationship is illustrated in the table below relating HES to analysts' ratings.

TABLE 15. TIME AT DISTRICT AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Time at District 1-3 Months %	No.	4-7 Months %	No.	7 Months Plus %	No.	Total	%
Divergence of Advisor's HES Rating from Analysts'	HES HIGH	9.1	1	50.0	2	30.8	4	7	25.0
	AGREE	90.9	10	50.0	2	61.5	8	20	71.4
	HES LOW					7.7	1	1	3.6
	Total		11		4		13	28	
	Percent	39.0		14.0		47.0			100.0

Cell percent by column sum

On the other hand, a positive relationship is indicated between the percent of hamlets that an advisor visits each month and the degree of agreement that his ratings evidence when matched against those of this study. As shown in the table below, those advisors who visited eighty percent or more of the non-VC controlled hamlets in their district were more likely to show agreement.

TABLE 16. PERCENT OF HAMLETS VISITED AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Percent of Hamlets Visited							
		80 Plus		60-79		0-59		Total	Percent
		%	No.	%	No.	%	No.		
Divergence of Advisor's HES Rating from Analysts'	HES High	16.7	2	37.5	3	25.0	2	7	25.0
	Agree	83.3	10	62.5	5	62.5	5	20	71.4
	HES Low					12.5	1	1	3.6
	Total		12		8		8	28	
	Percent	42.9		28.6		28.6			100.0

Cell percent by column sum

4. Conclusion

No firm conclusion can be drawn from this data about biases in the advisors' collection methods. While a considerable number of hamlets were covered in this study, these were located in only twenty-eight districts where advisory teams were interviewed about their data collection methods and these varied in complex ways. Nonetheless, it does appear

that use of written records improved the reporting and that record keeping improves during the advisor's tour. Personal observation, however, (i.e. visits to hamlets) does appear to improve the rating reliability of an advisor. On the other hand, the fact that agreement of HES and analysts' ratings falls over an advisor's tour indicates that the problem of what makes for reliable rating is very complicated and cannot be explained solely in terms of the data collection methods an advisor uses. Furthermore, the optimism of the advisors compared to our analysts is not to be written off as a mistake. It may sometimes reflect better knowledge. Most often, however, it reflects whether the advisor is looking mainly at security factors, or as we shall see below, looking with more civilian eyes at development factors.

5. Recommendation:

It is recommended that emphasis be placed on the advisor's critical selection among the various sources of information in a particular district and not necessarily on using uncritically all information that is available. Cross-checking of information should be done.

It is also recommended that advisors develop a system for collecting, recording and filing information reflecting the status of HES factors for each hamlet in the district. It is important that advisors continue to be encouraged to use personal observation as a primary method of data collection. The relationship between data collection methods and

rating reliability is extremely complicated and not amenable to statistically significant results with available numbers of cases. The number in the sample makes controlling for a third variable impossible. To ascertain better the reasons for divergence between analyst and HES ratings, an appropriate technique would be a series of five or six intensive case studies of hamlets. These could identify the true situation more nearly.

OBJECTIVE 3. EVALUATE THE METHODS OF DERIVING RATINGS

A. What Are the Methods?

1. Findings

Virtually all of the advisors surveyed indicated they had essentially the same method for deriving ratings. The advisor attempts to translate events that occur in the hamlets into the terms of indicators one through eighteen. Ideally, all events are covered by all factors and can be directly related to the HES. There are some events which do not easily fit, and there are some indicators which are not appropriate to a given district. Each of these events and indicators must be interpreted by the advisor (the quality of his interpretation depending on his intelligence, education and experience) before completion of the HES.

Variations in the method depended on the degree to which the advisor felt obliged to interpret events and to interpret the language of the factors. In all but an insignificant number of districts the method of interpretation was developed on an ad hoc basis by the advisor himself, with no guidance from higher headquarters. In several of these exceptional cases, the advisor was instructed to review the rating categories from right to left; that is, from "A" to "E", and to select the first applicable category. In others, the

advisor was instructed by province, when concepts in the HES appeared contradictory, to enter that concept which most appropriately applied to the situation.

2. Conclusion

There is no distinct manner by which certain aspects of a hamlet are translated into HES terms. Of relevance is the method by which the advisor both interprets events and interprets HES terminology. The method of interpretation is the creation of the individual advisor.

B. How Sound are the Rating Methods?

1. Findings

a. Quality. The amount of time an advisor spends completing the HES report each month is associated with agreement with our analysts' ratings. The following table shows those who devoted a longer time to the report agreed most frequently with the analysts' ratings. Conversely, those who spent the least amount of time on the report tended to show less agreement.

TABLE 17. TIME SPENT ON THE HES REPORT AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Time spent on report							
		1-9 Hrs		10-19 Hrs		20 Hrs Plus		Total	Percent
		%	No.	%	No.	%	No.		
Divergence of Advisor's HES Rating From Analysts'	HES High	35.7	5	16.7	1	12.5	1	7	25.0
	Agree	57.1	8	83.3	5	87.5	7	20	71.4
	HES Low	7.1	1					1	3.6
Total			14		6		8	28	
Percent		50.0		21.4		28.6			100.0

Cell percent based on column sum

This relationship holds when using the other two independent rating methods, villagers' views and hamlet chiefs' views.

It should not be assumed that those who take much time are the good raters. Elsewhere we find that the more highly

educated officers fill out the form faster and elsewhere also we find that officers who disagree with our analysts in the direction of optimism may have good reason. Length of time taken is not a test of the quality of the rating.

b. Consistency. There is some tendency of advisors not to appreciate the importance of their ratings of "confidence levels." The following table indicates how the advisors related these categories to their method of rating.

TABLE 18. ADVISORS' ATTITUDES ON CONFIDENCE LEVELS

"Confidence levels" were considered by the advisor to be:

	I Corps	II Corps	III Corps	IV Corps	Total	No.
	%	%	%	%	%	
Essential to the HES	25	38	43	21	32	13
Of little value because of ambiguities	50	50	43	79	55	22
Of no value	25	12	14	0	13	5
Districts	4	8	16	12	(100%)	40

2. Conclusion

The advisor who spends more time than others filling out the HES forms tends to be less optimistic in his ratings; this may be attributed to the care with which he analyses his data and his familiarity with the details of the HES form and guidelines.

However, there is more evidence (to be presented under Objective 4A) that the advisor who takes more time is just

the advisor who has more trouble with the forms, perhaps because his education is not as good.

General confusion over the purpose and function of the "confidence levels" categories has contributed to unevenness in the way an advisor translates his perception of hamlet conditions into HES equivalents. The tendency not to comprehend the function of these categories may in part explain the advisor's apparent reluctance to make rating changes.

C. How Can Rating Methods Be Improved

1. Findings

For the most part, district advisors exhibited a substantial degree of confusion over the interpretation of the definitions provided in the HES worksheet. The following table indicates the percentage of advisors who had difficulty translating hamlet phenomena into HES terms.

TABLE 19. PERCENT OF ADVISORS HAVING DIFFICULTY TRANSLATING HAMLET PHENOMENA INTO HES TERMS

		%	No.
FACTORS	Difficult	70%	28
	Not Difficult	30%	12
		100%	40
PROBLEM AREAS	Difficult	40%	16
	Not difficult	60%	24
		100%	40

There follows a listing of the most commonly mentioned complaints of the advisors.

a. (HES indicator 1a, "Village Guerrilla Forces," and 2a. "hamlet infrastructure"). VC and GVN geographic boundaries and administrative units do not coincide. Advisors are not sure whether the HES is referring to hamlets and villages as defined by the VC or the GVN.

b. (HES factors 1, "VC Military Activities," and 2, "VC Political and Subversive Activities"). Advisors were confused over the inclusion of the village concept in what is designed to be an exercise for evaluating hamlets.

c. (HES indicator 1b, "VC External Forces"). Advisors have been unsure as to how VC travel time to a hamlet should be defined. The questions have been whether this was the time taken by foot or by motorized sampan; whether it was time taken under conditions of artillery fire, or of a well-rehearsed skirting of a PF outpost.

d. Advisors noted that, in many cases, hamlets were quite large geographically, which could result in the same hamlet having widely divergent conditions, especially with regard to security.

e. Advisors were not sure whether the HES was designed to measure GVN activity or the general condition of the hamlet. They frequently noted that the system did not seem to consider the economic impact which growth in the

private sector had on a hamlet; nor was it clear to advisors how the effects of French, Catholic, or Hoa Hao institutions should be measured. Several advisors in non-National Priority Areas stated that the HES was geared to development conditions in NPA's, and that the kinds of developmental activities to be rated simply did not exist in non-NPA's.

f. Advisors noted the lack of opportunity to reflect in the HES a measurement of popular loyalty to the GVN or the degree of civic organizational activity.

g. (HES indicator 6a, "Self-Help Activity"). Although self-help activity and civic action are treated in the same category of the HEW, some advisors felt that a clear distinction should be drawn between self-help activity, in which the population takes part in improvement of hamlet conditions, and civic action, which is primarily a function performed by military personnel.

h. Problem areas.

(1) (3- Corruption or tyranny of hamlet or village officials) Advisors have found it difficult to distinguish between "rumored" activity and activity that was "suspected, but no proof".

(2) (5- Supplies from outside hamlet or village for self-help projects.) Advisors complained that there was no provision for indicating that none were

promised.

(3) (7- Refugee problems) Advisors were uncertain how "refugee" was to be defined. For example, was it to include both a 1954 refugee from North Vietnam and an individual who moved from one area of South Vietnam to another due to more recent strife, or was it to include only the latter.

(4) (10- Condition of main routes from hamlet to village center) Advisors in the Delta complained that the question did not pertain to areas in which canals and rivers were the only means of transportation to and from hamlets. Several advisors were confused about how to define the alternative, "in good repair, adequate for current traffic". For example, some hamlets are accessible by footpaths and perfectly suited for the local population's use, but are not reachable by Scout or Lambretta.

i. Structure of the HES worksheet

(1) Advisors found significant gaps between adjacent rating categories, with considerable numbers of difficult marginal decisions, especially for the factors relating to economic and political development.

(2) Advisors found that the ratings in the "A" category reflected an ideal situation. A not uncommon remark was that it would be difficult to give "A" ratings for

the development factors even to many sections of the United States. Whether or not these criticisms are well founded or pertinent in light of the guidance and the HEW is less important than the fact that these issues were raised. Whatever the guidance said, the point did not always get across.

2. Conclusion

The advisors' comments about the HES indicate a general familiarity with the HES worksheet, but a fairly wide lack of comprehension of the objectives and purposes of the HES or awareness of the details of the guidance. Advisors do not seem to consider very carefully the statement in the introduction of the guidance which states:

> It is recognized that local conditions relative to these indicators may differ widely, and some of the descriptions, even although given in rather general terms, may not fit exactly the conditions in some of the hamlets. The descriptions should be recognized as suggestive rather than precise. The evaluator in rating a hamlet should select for each indicator that stage of development (E-A) that comes closest to describing the environment in that particular hamlet...
> ...the basic purpose of each indicator is to measure the degree of GVN or other action in response to popular need, as well as popular response to that action. If there is no action because there is no need, the hamlet rates an A.

See Objective 4-B for further discussion of guidance.

OBJECTIVE 4: DETERMINE THE IMPACT OF HES REPORTING REQUIREMENTS ON ACCOMPLISHING ADVISORY TASKS AND THE UTILITY OF FEEDBACK OF THE HES AS A MANAGEMENT DEVICE

A. How Much Time Is Involved in District's Preparation and Province's Review of the HES?

1. Findings

District preparation time falls into two categories: 1) data collection and 2) data consolidation. No district advisor could measure the data collection phase in man-hour-day terms since all mingled this HES function with other duties. Moreover, they could not estimate how much information came to them or their team "naturally" in the course of advisor duties as compared with how long they or their team had to spend ferreting out necessary HES data which did not come to them "naturally." With one exception, HES data collection was described in such terms as "cumulative," "constant" or "continuous" throughout a reporting period. The one exception was the advisor who maintained a sophisticated system of conferences for completing the HES with American and Vietnamese staff personnel. While many HES related matters came to his attention throughout the month, he did not consider these matters in HES terms until his meeting period arrived. Normally this period lasted a week. All advisors except this one collected HES data in

conjunction with their other duties.

Time spent in district data consolidation, hamlet rating, and clerical functions varied greatly from district to district. The minimum was 45 minutes; the maximum was 40 hours. The average time varied between corps. It was 24 hours in I Corps, 15.5 hours in II Corps, 11 hours in III Corps and 8 hours in IV Corps. The sample average was 12.3 hours.

The following table indicates the relationship between the advisor's civilian educational status and how long it took him to consolidate, rate, and record this report. Those who have college degrees were more likely to use less time to fill out the report than those who lack a college degree.

TABLE 20. CIVILIAN EDUCATION AND TIME SPENT ON THE HES REPORT

		Civilian Education: College Degree		No College Degree		Total	Percent
		%	No.	%	No.		
Time Spent on the HES Report	1-9 Hrs.	68.2	15	21.4	3	18	50.0
	10-19 Hrs.	13.6	3	21.4	3	6	16.7
	20 Hrs.Plus	18.2	4	57.1	8	12	33.3
	Total		22		14	36	
	Percent	61.1		38.9			100.0

Cell percent based on column sum.

The length of time an advisor has been on the job was found to be associated with the length of time spent

filling out the report. The table below indicates that new advisors are more likely to spend the most time filling out the report, while those who have had more experience with it tend to spend less time.

TABLE 21. TIME AT DISTRICT AND TIME SPENT ON THE HES REPORT

		Time at District 1-3 Months		4-7 Months		7 Months Plus		Total	Percent
		%	No.	%	No.	%	No.		
Time Spent on the HES Report	1-9 Hrs.	44.4	8	66.7	4	62.5	10	22	55.0
	10-19 Hrs.	22.2	4			12.5	2	6	15.0
	20 Hrs. Plus	33.3	6	33.3	2	25.0	4	12	30.0
	Total		18		6		16	40	
	Percent	45.0		15.0		40.0			100.0

Cell percent based on column sum.

Time taken to review the HES report at province, including preparation of the Summary Classification Form varied widely--from one hour to 80 hours. The average review periods per corps were: 30 hours in I Corps, 10 hours in II Corps, 25 hours in III Corps, and 10 hours in IV Corps. The sample average was 17.2 hours. Nothing in the province interviews indicated sample-wide reasons for such wide variations from province to province or from corps to corps. Analysis of interviews on this point could only be cursory because of frequent changes in the reviewing personnel at the province level.

2. Conclusion

At district level, the vast majority of advisors were continually engaged in data collection throughout the month. The variation in time spent occurred while consolidating information, rating hamlets, and performing clerical chores. Civilian education level is inversely associated with time taken to fill out the report. Also, the longer an advisor spent at district level the less time it took to fill out the report. There was nothing to indicate that the HES imposed any undue burden on the advisor in terms of time taken to complete the report.

B. Are Adequate and Clear Instructions Provided for Preparation of the HES Report?

1. Findings

The responses raised two issues regarding the clarity of instructions. First, how difficult is it for a district advisor to comprehend the rating scheme as explained by the guidelines and the HEW. For example, is it difficult for the advisor to understand the interrelation between indicators posed by the system? Second, how applicable are the guidelines and the HEW for measuring the existent hamlet situations in a given district? For example, does some important feature of the district make the HES inappropriate as a gauge for that district's hamlets? These two aspects

are discussed separately.

a. Difficulty in comprehending the Rating Method.

The opinions which forty respondent district advisors held of the understandability of the HES, divided into opinions on the factor areas and on the problem areas:

TABLE 22. PERCENT OF ADVISORS HAVING DIFFICULTY IN COMPREHENDING THE RATING METHOD

	Percent	No.
Both factor and problem areas difficult	25%	10
Factors difficult but not problems	45%	18
Problem area difficult but not factors	15%	6
Both areas not difficult	15%	6
Total	100%	40

Despite the fact that 70% found the factors hard to rate, all advisors believed that they understood the principal thrusts of the instructions.

Some of what advisors termed "difficulty" was due to their insufficient reading of the guidelines and the HEW. For example, comments were made that it was difficult to reconcile statements in the guidelines concerning indicator 3a., Village Guerrilla Unit. Some advisors maintained that the guidelines confused the hamlet guerrilla unit and the village guerrilla unit, both of which were mentioned in

the instructions for the 3a. indicator. Careful reading of the guidelines, however, shows that what is being rated by the indicator is the village force affecting the hamlet. If the hamlet is to be rated other than VC, the hamlet unit must have left, gone underground, or been destroyed. (Further examples of such misconstruction appear in Objective 3C above.)

On the other hand, several advisors noted that the reason they found the guidelines "difficult" to understand was not because the scheme itself was confusing but because the instructions were not sufficiently integrated for use as a ready reference and, consequently, they relied on the HEW alone. Their point was that the press of time did not allow them to familiarize themselves with all the nuances in the guidelines or to sustain a high degree of familiarity with them over a long period.

Another complaint was that the guidelires and the HEW did not define all crucial terms. For example, the guidelines for the 5b indicator, Education, frequently use the term "accessible". However, since it is the hamlet which is rated, some advisors asked whether that meant the school must be within the geographic boundaries of the hamlet or may it be outside the hamlet but still be accessible. Few faults were found by the advisors with the instructions related to clerical operations; most complaints, whether founded or unfounded, focused on rating descriptions

b. Inappropriateness of the Guidelines and the HEW.

Of forty district advisors responding to questions on the instructions, 63% felt that they contained some elements making them inappropriate for gauging the situation in which they found themselves, while 37% thought that the printed guidance was fully applicable. Again, the belief that the instructions were in some way inappropriate was sometimes the result of faulty or deficient reading of both the HEW and the guidelines. (For further examples of such misconstructions see Objective 3C.) One such group of misunderstandings resulted from over-reliance on the HEW rather than on the guidelines. For instance, the rating under the 5a. indicator, Medical Services and Public Health, speaks only of MEDCAP teams' visits to the hamlet when it appears in the HEW. However, the guidelines contain added explanatory material which allows for a higher rating if a government sponsored permanent medical facility is accessible for the hamlets whether or not there are MEDCAP team visits. Some advisors rated only on the basis of MEDCAP visits. The revealing comment by such advisors was usually to the effect, "The instructions are not appropriate for these hamlets since in the district town, five kilometers away and easily reachable by Lambretta, there is a good government medical station.

However, to be true to the reporting system, the hamlets must be rated E." That is, of course, an error.

Another class of misconceptions leading advisors to believe the measuring tools were inappropriate to their situations resulted from incomplete reading of the instructions on the HEW alone. For instance, some advisors in the Delta stated that the tenth problem area, condition of routes from the hamlet, was irrelevant for many hamlets because it dealt with road conditions whereas their chief concern was with canals. If the items in parentheses listed in this problem area had been read, it would have been readily evident that canals were provided for.

Advisors noted that the format of the guidelines was too lengthy to re-read monthly in order to check on appropriateness. Some advisors felt they did not read the HEW carefully because of the small size of its print. Although not many claimed they had been careless in their reading of the HEW, many mentioned the difficulty in reading it.

Several advisors did raise questions about the appropriateness of the categories rated. For example, it was noted that the HES primarily rated the effectiveness of GVN military, RD, and civilian activities. It provided little gauging for the effectiveness of activity of private groups such as the Catholic Church or business men's organizations. Some noted that the degree of pacification, in a

larger sense, includes the effectiveness of these groups also. Indicator 5b. dealing with education was cited as overlooking the importance of these groups. In this indicator there seems to be an insistance that the GVN be the sponsor of the school. Strong private educational systems operate throughout Vietnam and are not accounted for by the HES. Some advisors pointed out that activity in the private economic sector in their district did far more to improve the economy than GVN measures. Concurrently, they felt that such activity was bringing far more improvement into the lives of the people and gave them a stronger economic "stake" in the GVN system than would most GVN economic improvement programs. This they felt the HES should measure.

2. Conclusion

Although all advisors believed that they understood the principal points of the HES instructions, certain modifications are in order to improve ease and accuracy in comprehending their meaning and appropriateness. While much of the dissatisfaction concerning the instructions was founded upon poor reading, enough well-based and cogent criticisms were voiced to reach the above conclusion. Alterations in the guidelines and the HEW to satisfy the substantial criticisms should aim at altering instruction content because of its actual inadequacies, e.g. real ambiguities. Even unfounded

criticisms caused by insufficient reading indicate that certain changes are needed, but with the goal of inducing better reading of the instructions.

Well-founded dissatisfaction was generated by three types of deficiencies: 1) the multiplicity of the documents comprising the system of guidelines--many of which were redundant, 2) the ambiguity of some of the terminology used in the guidelines and the HEW, 3) the absence of rules for measuring the effectiveness of the private groups who contribute to the improvement of hamlet life in the fields of health, education, and economic improvement. Unfounded criticism of the contents of the instructions demonstrates the need for more specificity in meanings, reading aids, and changes in the HEW format. (For further discussions, conclusions, and recommendations on bettering advisor reading routines, see Objective 4F, Communal Emphasis, below.)

3. Recommendation

a. Guidelines for the HES should be integrated into one continuous loose-leaf manual complete with table of contents and index and designed for ease of incorporating instructional changes and ready reference use.

b. The instructions should be probed for terminology which might possibly be ambiguous or lack specificity. Such a study should be done line by line in the presence of

district advisors in order to obtain as precise and uniform standards as possible. (See Annex III for an example of such an analysis.)

c. The guidelines and the HDW should be amended to allow the effects of the activities of non-GVN sponsored groups in the private sector to be registered by the HDW in the indicator areas of Medical Services and Public Health, Education, and Economic Improvement Programs.

d. The print size of the HDW form should be increased, or if that proves unfeasible, every advisor should be provided with a display sample HDW of increased proportions.

e. Words of importance or those providing nuances to meanings in the guidelines should be put in italics.

f. Short examples of "case studies" or of problems commonly encountered in rating a hamlet should be incorporated in the guidelines with the MACV preferred solution.

g. The briefings and lectures which are given to advisors should emphasize problems and solutions in understanding and applying the rating portions of the guidelines rather than understanding the clerical and mechanical facets of the report.

h. The guidelines should tell an advisor that he should feel free to change ratings whenever the advisor's experience leads him to a new perception of the situation - even if nothing new has happened in a hamlet. To

enable the advisor to feel free to make such changes, the advisor should be told that an asterisk next to a changed rating will be interpreted as a change of that sort rather than a change in the real world.

C. Are there duplications in the HES of other reporting systems?

1. Findings

The table below summarizes opinion on this question at both the province and the district level.

TABLE 23. ADVISORS' ATTITUDES ON DUPLICATIONS IN THE HES OF OTHER REPORTING SYSTEMS

	Degree of Duplication							
	Substantial		Minor		None		Percent	No.
	%	No.	%	No.	%	No.		
Province	17%	3	66%	12	17%	3	100%	18
District	7%	3	60%	24	33%	13	100%	40

The items in the above table are of particular importance. First, at province and even less so at district there were few who found that the HES duplicated other reports. The reason for this lies in the fact that the HES is a more general report--touching on many areas covered in other reports but without the same detail and depth. Second, a full one-third of those surveyed at district level indicated that there was no duplication at all; this group and those who found only minor duplication comprise ninety-three percent of those sampled at district level.

2. Conclusion

The above figures indicate little duplication between the HES and the other reporting devices now in use--even at province level where the variety of reports is substantial.

Those who fill out the HES (district advisors) do not perceive it to be duplicatory. As a result, it stands a better chance of receiving serious attention.

D. Is HES Used as a Management Device?

1. Findings

With the exception of one corps, military/civilian interviewing teams at the corps level did not find much utilization of the HES as a management tool. Normally, a major or captain was assigned to read and be familiar with the report; however, whatever knowledge he had of it was employed primarily to produce briefing materials. Reasons for this non-use for management purposes were many but fell into five rough categories. First, the information in HES was too voluminous to extract and rearrange in forms necessary for management use. The maps furnished by MACV were generally said to be inadequate for such purposes because of their small size. Second, and related to the first, corps personnel claimed that the rating scheme was too complex for management use at corps. Third, few of the higher ranking

officers at this level had familiarized themselves with the types of information contained in HES. Fourth, there was a noticeable prejudice against a machine record report. Some CORDS personnel at corps expressed the opinion that machine records just could not tell you what you need to know or that the type of war in Vietnam was not amenable to "computerization". Fifth, the ratings themselves could not be trusted according to some corps interviewees. With the exception of this last reason, similar attitudes prevailed at the provincial level.

At district, most advisors added another to the first four mentioned above. They had supplied the information to the system and consequently used the HES only as a ready reference service and to supply a comprehensive record of the district to their successors. Some also noted that they never received anything in the way of a detailed listing or compact organization of the data sent into the system.

2. Conclusion

The HES is not now being used as a management aid at corps, province or district levels. Moreover, certain changes in the formats of breakouts of information produced by the HES and going to corps and province must be made before the HES will be used for management purposes at these levels. These changes or additions to output from the HES should be aimed at satisfying two goals. First, the bias

against machine produced material must and can be mitigated by placing that material in easily and quickly understandable form. Second, these new breakouts must be pertinent to the problems in the field. In short, output must be prepared for field use and field personnel instructed on how to utilize it.

However, alterations in breakout formats alone will not suffice to change attitudes concerning use of the HES as a management device. A command emphasis problem is also posed: How to persuade decision-makers at corps, province and district that the HES should be used as a management device?

For conclusions on command emphasis and the HES as a management device, see Objective 4 D above. It should be noted, as stated in the conclusions in the Overall Purpose above, that the HES has not yet reached a point of reliability where it can be used to plan on a hamlet by hamlet basis.

3. Recommendation

a. Breakouts of the HES should be prepared in graph form.

b. Overlays should be of larger proportions and prepared for use on pictomaps.

c. A report on the possible uses of the HES as a management device at corps should be prepared and distributed to that level. At the corps level, the HES could be used as a measuring device for cost-effectiveness analysis

of various pacification programs.

d. A report on the possible management uses of the HES at district and province should be prepared and distributed to those levels. At province and district, the HES would provide a ready source of information for advisors indicating to them what programs need attention. Advisors would be in a better position to advise counterparts regarding allocation of resources to accomplish established programs and objectives. The HES report could also be used by advisors to identify priority areas for military operations.

E. How Often Should the HES Report Be Prepared?

1. Findings

The following Table portrays the preference pattern of province and district advisors on the question of desired reporting frequency.

TABLE 24. ADVISOR'S ATTITUDES ON REPORTING FREQUENCY

	Desired Reporting Frequency									
	Monthly		Every Other Month		Quarterly		Semi-Annually		%	No.
	%	No.	%	No.	%	No.	%	No.		
Province	22	4	6	1	72	13	0	0	100	18
District	35	14	10	4	52.5	21	2.5	1	100	40

Opinion at both the province and district level is divided as to how frequently the report should be submitted. A substantial majority at province level indicated that the report

should be submitted quarterly. A majority of those interviewed at the district level also favored quarterly submission of the report, however not to the same degree as at province level.

Those district advisors who favored a quarterly report frequently stated that a quarterly report would give them the opportunity to do more than a superficial reporting job. Generally, those who favored a monthly report stated that they did so because it forced them to continually keep up with non-military as well as military activities in their district.

The table below shows the relationship between general attitude toward the report and frequency preferences.

TABLE 25. ATTITUDE TOWARD THE HES REPORT AND DESIRED REPORTING FREQUENCY

		Attitude Toward the HES Report					
		Negative		Positive		No.	%
		%	No.	%	No.		
Desired Reporting Frequency	Less Than Monthly*	90.9	10	55.2	16	26	65.0
	Monthly	9.1	1	44.8	13	14	35.0
	Total		11		29	40	
	Percent	27.5		72.5			100.0

Cell percent by column sum

*Less than monthly includes the following: every other month, quarterly, and semi-annually.

Those who had a negative attitude toward the report tended to favor less than monthly submission of the report. On the other hand, those who had a positive attitude toward the report tended to favor monthly submission.

An association was found between an advisor's report submission preference and the degree of agreement of an advisor's ratings with the ratings obtained through this study. The table below indicates that those who preferred monthly submission of the report tended to agree more frequently with the subjective ratings of the analysts.*

TABLE 26. DESIRED REPORTING FREQUENCY AND DIVERGENCE BETWEEN ADVISOR'S HES RATING AND ANALYSTS'

		Desired Reporting Frequency					
		Monthly		Less Than Monthly		Total	Percent
		%	No.	%	No.		
Divergence Between Advisor's HES Rating and Analysts'	HES High	16.7	2	31.2	5	7	25.0
	Agree	83.3	10	62.5	10	20	71.4
	HES Low			6.2	1	1	3.6
	Total		12		16	28	
	Percent	42.9		57.1			100.0

Cell percent by column sum.

*The same relationship was found when the other two ratings generated by this study were considered.

2. Conclusion

The above findings indicate that a substantial number of those interviewed prefer a quarterly report, that a definite relationship exists between the attitude of an advisor to the report and acceptance of a monthly report and that report submission preference is associated with the degree of agreement between the advisors' ratings and the ratings obtained by this study.

3. Recommendation

The HES report should continue on a monthly basis.

F. What Relationship Exists Between the Advisor's Reporting Load and Reliability?

1. Findings

The following table indicates that there is a definite relationship between the number of hamlets which an advisor must rate each month and the degree of agreement between his hamlet ratings and those generated by this study. Advisors with less than forty hamlets to rate tend to show agreement with the subjective ratings of the analysts.

TABLE 27. NUMBER OF HAMLETS RATED AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Number of Hamlets Rated							
		1-39		40-79		80 Plus		Total	Percent
		%	No.	%	No.	%	No.		
Divergence of Advisor's HES Rating from Analysts'	HES HIGH			30.8	4	60.0	3	7	25.0
	AGREE	90.0	9	69.2	9	40.0	2	20	71.4
	HES LOW	10.0	1					1	3.6
	TOTAL		10		13		5	28	
	PERCENT	35.7		46.4		17.9			100.0

Cell percent based on column sum.

2. Conclusion

The work load of an advisor affects his ratings. The more hamlets he must rate the lower is the advisor's rating agreement with the rating methods of this study.

3. Recommendation

As recommended in Objective 2A, the size of advisory teams should be more closely geared to the size and complexity of a district. Whenever feasible, advisors with a large number of hamlets to rate should be provided additional personnel such as an assistant military or civilian advisor.

G. What Command Emphasis is Given the Report?

1. Findings

Command emphasis as used here relates to the

emphasis placed upon the report at a given echelon. Thus, at district it means how much does the senior district advisor emphasize the report with himself and his team. For those districts sampled, the spread on the basis of a seven point scale was from .75 to 6. On the seven point scale, I Corps averaged 2.2 (4 districts), II Corps 2.56 (8 districts), III Corps 3.70 (16 districts), and IV Corps 2.25 (12 districts). The sample average was 2.78.

At the province level, command emphasis divided into two categories: 1) the weight placed upon the report by province with the district advisors and 2) the importance and utilization given the report by province for province level review and use. Regarding the first category the breakdown was as follows for the 18 provinces sampled.

TABLE 28. COMMAND EMPHASIS AT PROVINCE

	I		II		III		IV		RVN	
	%	No.	%	No.	%	No.	%	No.	%	No.
Definite emphasis			25%	1	50%	3			22.5%	4
Minor emphasis	50%	1	75%	3	50%	3	50%	3	55.0%	10
No emphasis	50%	1					50%	3	22.5%	4
Total		2		4		6		6		18 Provinces
Percent	100%		100%		100%		100%		100%	

Regarding the second category, very few provinces were devoting much attention in terms of time or use. Only in III Corps did provinces appear, with some consistency, to be putting

this sort of emphasis on the report.

At the corps level, command emphasis again divides into two categories: 1) the weight placed upon the report by corps with province and 2) the importance and utilization given the report by corps for corps level management purposes. Only III Corps was emphasizing the report in both manners. One other corps was emphasizing it in the fashion described by the first category.

2. Conclusion

Although most district advisors do conscientiously develop and complete the HES, the report does not receive much command emphasis with other members of the district advisory team. At the province level, there was some emphasis placed upon the report by province with the district advisor, but very little importance was attached to the review of the HES or its use as a management tool. At the corps level there was, with one exception, little emphasis of any nature put on the report.

Although it is probably desirable to raise the level of emphasis given the HES at all echelons, several problems would be posed by an attempt to do so. First, greater stressing of the report by a higher echelon on a lower one might be interpreted by the lower as a call to show progress rather than reality. The problem is to formulate the emphasis in such a way as to prevent the emphasis

from resulting in unwanted distortions. Second, if more priority is given the report at all echelons, something must be given less. The problem here is assuring that this something is really of less importance than the HES. Any emph s of the report which would cause substantially less attention to be paid to vital advisory duties should be guarded against.

One method of setting up such a guard would be establishment and maintenance of a system of visitation by province and corps staffs to districts. This would have a number of collateral advantages such as better overall command supervision and as a means to assist in improving continuity.

As was noted in the findings above, command emphasis often takes two forms when related to the HES. One form is, in essence, a higher echelon saying to a lower, "be thorough and accurate". The other is the emphasis each level places upon the report as a management aid. It is this latter sort which is currently lagging most. However,this can only be corrected after certain modifications are made of the present feedback to corps, province, and district. (The nature of these alterations is covered in Objective 4 D , Use of the HES as a Management Device.) After these have been made, it would be reasonable for MACV to expect more utilization of the report as a management device.

3. Recommendation

The HES should be emphasized more by higher echelon on lower ones in the sense of "be accurate and thorough". Such added stress, however, should be formulated in such a fashion as to avoid the appearance of a call to show progress or of an order to sacrifice important advisory functions in order to upgrade the accuracy of the HES.

The increase and maintenance of command emphasis should be carefully supervised and overseen by establishment of systematic visits to districts by province and corps staffs.

Modifications of the present feedback to corps, province, and district levels, which make HES data more intelligible must be made before these echelons will utilize the HES as a management aid.

OBJECTIVE 5. DETERMINE THE EFFECTS OF IMPLIED PERFORMANCE RATING INHERENT IN THE HES REPORT UPON OBJECTIVITY OF REPORTING

A. Upon What Basis Is the District Advisor Rated and What Guidance Has Been Given For Rendering of Efficiency Reports?*

1. Findings

The mechanics of who is to be the rater and who the endorser in the new CORDS organization appeared fairly well established by directives to province. MCA's interviewing and research, however, revealed that no systematically applied criteria for the entire country had been supplied from higher headquarters to province for rendering efficiency reports on district advisors. The raters of district advisors at province used rating standards which varied from province to province. On several occasions, it was stated by high-ranking province CORDS personnel that no single criterion was applied even to the district advisors in that province but that ratings were derived on an ad hoc person-to-person basis.

Despite the wide variety of criteria from province to province and, in some cases, within a province, all personnel interviewed at the provincial level denied that progress or decline in the HES ratings were used as an element in rendering efficiency reports. The reason normally given was that the HES could not possibly reflect the problems and

*Objectives 5A and 5B of the original Plan of Research have been combined under 5A.

variables which are involved in making a fair rating of a district advisor. Some provincial personnel, however, did distinguish between rating efficiency on the basis of progress or decline in the HES scores and rating on the basis of whether the report was being conscientiously completed. They included this latter factor as an element in efficiency rating.

The reason frequently given by province level efficiency raters for an unsystematic approach to rating was the limited knowledge which province had of what was occuring at district.

2. Conclusion

Currently little or no efficiency rating is being done on the basis of decline or progress shown in HES. However, as the report assumes a more prominent position,it is important to continue to insulate it from becoming an instrument of efficiency rating. The lack of clear directives from higher headquarters and province's general lack of knowledge of district matters related to efficiency reporting leaves a gap which might be filled by using progress or decline in the ever more prominent HES scores as an element in measuring efficiency.

3. Recommendation

The gap in personnel efficiency measuring techniques should be filled by specific instructions from MACV on

efficiency rating criteria. Measures of efficiency should be tailored to the circumstances in which most advisors must operate. These should emphasize candor and accuracy in reporting rather than progress per se.

Methods of observation and supervision should be developed to enable province to rate the district advisor on direct knowledge of his activities and problems and to preclude the possibility that decline or progress in the HES might serve as an element in efficiency rating.

B. How Do the District Advisor and His Assistant Perceive That Their Superiors Rate Them?

1. Findings

The district advisors surveyed mentioned a wide variety of methods by which they perceived their performances as being evaluated. Their understanding of the bases for rating ranged from an intimate knowledge of the events that occur within an advisor's district to something not far removed from intuition. Only one advisor interviewed stated that his HES ratings were at all affected by how he perceived his own efficiency rater would accept them. A large majority of the respondents, (80 percent) stated that the quality of the advisor's reports to province served as one criterion for evaluation. However, they felt certain that all reports were given approximately equal weight and that the care, time and attention paid by the advisor to a report was the important

factor; no advisor was of the opinion that his rater at province was in a knowledgeable enough position to base a judgment on the district advisor's HES ratings.

2. Conclusion

The district advisor's judgment in completing the HES does not, at the present time, appear to be affected in any significant way by the fact that the HES reviewer at province happens also to be his performance rater.

C. Does the District Advisor Consider It More Important to Show Progress or to Report Reality?

1. Findings

The relationship between the tendency of advisors to make changes on the HES and the objectivity of this reporting is analyzed here. Statistical analysis illustrates that the length of time at district is related to the tendency to show change on the HES, whether it be up or down.* Fifty percent of those advisors who were sampled made changes in their predecessor's ratings during the first month. The percentage of advisors making rating changes remained about the same during their second, third and fourth months. A substantial rise in the advisor's tendency to change ratings occurred in the fifth month of a tour. During the sixth month rating activity in each corps reverted

*See Annex I and Appendix I

back to previous levels or lower. No significant relationship was found between HES rating activity and the seventh or eighth months of an advisor's tour. At the time that this study was made no data was available past the eighth month.

The "shakedown" period of the HES seems to have affected ratings. The percentage of sampled districts in which rating changes occurred for the months of January through May ranged from 30% to 70%. The HES revision in May seems to have had an immediate effect on ratings. An unusual amount of rating activity took place in June; the percentage of advisors making changes ranged from 68% to 91%. Revisions in the system that month may well have been responsible for this. In the months following June, with the exception of II Corps, the percentage of districts in which changes were made dropped to a range of 17 percent to 55 percent.*

2. Conclusion

Advisor ratings are affected by his time at district in a limited way. That is, an advisor has a greater tendency to make changes during the fifth month of a tour. Also, ratings may have been influenced by the HES "shakedown"

*See Annex I and Appendix II.

period between January and June of 1967. A higher percentage of advisors made changes prior to and during June, when the system was revised, than in the months that followed. This would seem to indicate increased stability in the system.

3. Findings

This section deals with the relationship between the tendency of advisors to show "progress" and objectivity of reporting. Substantial similarities seem to occur between the four corps averages on the direction of the changes (up or down) made month to month. Changes were more likely to occur bimonthly than monthly.

During the fifth month of an advisor's tour, the month in which he makes the most rating changes, he tends to rate a few more hamlets up than down.* A review of the provincial averages within each corps reveals broad divergences not evident in the corps averages. These divergences may in part be explained by the exogenous factor of "real" change, but almost certainly, they are influenced by the June revision of the HES noted in A above.

In I Corps, only one of the four advisors sampled was reporting when the May revision was implemented, and he showed no change for the month of June. The following figures

*See Annex I, Appendix III.

shown in percentages, indicate the degree and direction of the changes made by advisors. The figures have been averaged by province and broken down by corps area. (Provinces have been identified by number rather than by name to assure anonymity.) Where a substantial change occurred in June or in July, it has been so indicated. Large percentage changes in the months of June and July would suggest that revision of the HES increased the advisor's willingness to make changes.

TABLE 29. MONTHS IN DISTRICT AND RATING CHANGES

II CORPS

	Province	MONTHS IN DISTRICT 1	2	3	4	5	6	7	8
% of Change	1	0	0	0	0	+15*	0	0	0
	2	0	+6	0		-	-	-	-
	3	+1	-2	0	+7	+2	0	0	+6
	4	+4	-1	+16*	+1	+3	0	+4	-

III CORPS

	Province*	MONTHS IN DISTRICT 1	2	3	4	5	6	7	8
% of Change	1	+13*	0	0	0	0	-	-	-
	2	+2	+10	+3	0	+10	0	0	+25
	3	+5	0	+11	+3	+1	0	0	+25
	4	0	0	0	0	+2	0	-2	0
	5	-5	-7	0	-8	-8*	+2	+8	+16
	6	+4	0	0	+2	0	0	0	+4

IV CORPS

	Province	MONTHS IN DISTRICT 1	2	3	4	5	6	7	8
% of Change	1	+2	0	+15*	-2	+10	+2	0	+3
	2	0	0	+1	+1	+6	+8*	0	0
	3	+25	0	+2	+3	+6*	0	0	--
	4	+7	+14	+8	+8	+4	0	0	0
	5	+1	-	-	-	-	-	-	-
	6	+9	+4	+12	0	+6*	-1	+1	+15

*Change occurred during June or July, when revisions in the HES may have affected ratings.

The direction of the changes in the ratings for the four corps showed an increasing tendency to diverge from January through June. The trend suggests that the system was undergoing "growing pains." In the months following the June revision, the four corps averages show increasing indications of agreement.*

Without exception, the district advisors stated that they honestly have tried to reflect reality in the HES. Some respondents, however, acknowledged their general outlook affected their interpretation of "reality." Four of the forty respondents tended to be optimistic and to view the apparent general trend of the Vietnamese conflict favorably.

Two of these four were advisors in I Corps. The other two "optimists" were in II and III Corps. Two of the forty respondents were pessimists and saw the overall situation in less than hopeful terms. It was impossible to determine in these cases the effect which outlook had on ratings; a simple comparison, especially with the limited sample of this study would be misleading.

4. Conclusion

There seems to be little tendency on the part of the rater to show "progress" in the HES under the assumption that his performance as an advisor would be judged implicitly

*See Annex I, Appendix IV.

by the performance of his district on the HES. Changes tend to be fewer as an advisor's time in his district increases. This may reflect increased stability in the HES, but does not exclude the possibility that downward movement is going unreported. Additionally, the small size of positive percent changes in most provinces indicates that a tendency to show "progress" was lacking. However, it should be recognized that an advisor's general world view unconsciously could influence his ratings.

5. Recommendation

As command emphasis increases, province should continue to permit and encourage district advisors to change ratings up or down as the situation requires. Pressure should not be exerted on district advisors from province, nor should the district advisor have to justify to province any changes he may make.

D. What Influence Does the GVN Have on the Lowering or Raising of Ratings?

1. Findings

District advisors were asked if they "ever felt any GVN pressure on how to rate hamlets." Only two of the forty (5%) indicated that direct pressure on how to rate particular hamlets had been exerted on them by their counterparts (the district chief). In neither case were these attempts successful.

2. Conclusion

There is no evidence to indicate that GVN pressure has been brought to bear on district advisors to any meaningful extent. Where it has occurred, it has been isolated and sporadic.

E. Does the Province Advisor Normally Agree with the District Advisor?

1. Findings

Fifty-five percent of those interviewed at province level responded that they had disagreed at one time or another with HES ratings. Forty-five percent stated that they had never disagreed with HES ratings. Where HES ratings have been questioned, disagreement for the most part has been based on procedural rather than substantive matters. This generally occurred during the months immediately following the introduction of the report. In the few cases where the disagreement has been substantive, the principal area of disagreement has been population figures.

2. Conclusion

Initially, the level of disagreement on HES reporting between province and district tended to be more frequent than it is now. There is no reason to believe that province influences in any substantial way the rating methods of the district advisor.

OBJECTIVE 6: DETERMINE THE REQUIREMENTS FOR TRAINING OF DISTRICT ADVISORS AND TEAM MEMBERS IN ORDER TO OPTIMIZE HES REPORTING EFFORTS

A. What is the Background-Training of the District Advisory Team?

1. Findings

The following figures summarize the extent of military experience and training of the district advisors covered in the sample.

TABLE 30. BACKGROUND OF DISTRICT ADVISORS

	%	No.	No. in Sample
Civilian Education:			
College degree	61%	22	
No college degree	39%	14	36
Source of Commission:			
OCS	53%	15	
ROTC	40%	12	
USMA	3.5%	1	
Battlefield Commission	3.5%	1	30
Basic Course Completed:			
Yes	86%	27	
No	14%	4	32
Language Training:			
Yes	45%	18	
No	55%	22	40
Combat Experience:			
Yes	33%	10	
No	67%	20	30
Special Courses (Civil Affairs, MATA, etc.):			
Yes	76%	29	
No	24%	9	38

	%	No.	No. in Sample
Command and General Staff:			
Yes	10%	3	
No	90%	27	30
Combat Infantryman's Badge:			
Yes	73%	22	
No	27%	8	30
Years of Service:			
15 years +	37%	11	
Less than 15 years	63%	19	30

Advisors were ranked according to their level of military experience based on the factors listed in the table above. Military experience was not related to agreement between their ratings and those generated by this study, except in the case of those advisors with above average experience. These findings are summarized in the table below.

TABLE 31. MILITARY EXPERIENCE AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Above Average		Average		Below Average		Total	%
		%	No.	%	No.	%	No.		
Divergence of Advisor's HES Rating From Analysts'	HES High			33.3	6	12.5	1	7	25.0
	Agree	100.0	2	61.1	11	87.5	7	20	71.4
	HES Low			5.6	1		1		3.6
	Total		2		18		8	28	
	Percent	7.1		64.3		28.6			100.0

Cell percent by column sum

Other selected team member experience and training figures appear below.

TABLE 32. BACKGROUND OF ADVISORY TEAM MEMBERS

Operations and Intelligence Sergeant

	%	No.	No. in Sample
Civilian Education:			
H S Diploma	100%	17	17
Years of Service:			
6 Years +	100%	17	17
1 Years in MOS:			
Yes	88%	15	
No	12%	2	17
Language Training:			
Yes	35%	6	
No	65%	11	17
Special Training:			
Yes	12%	2	
No	88%	15	17
Previous Combat Experience:			
Yes	47%	8	
No	63%	9	17

Medical NCO

	%	No.	No. in Sample
Civilian Education:			
H S Diploma	100%	20	20
Years of Service:			
5 Years +: Yes	90%	18	
No	10%	2	20
1 Year in MOS:			
Yes	85%	17	
No	15%	3	20
Language Training:			
Yes	15%	3	
No	85%	17	20
Special Training:			
Yes	15%	3	
No	85%	17	20
Previous Combat Experience:			
Yes	30%	6	
No	70%	14	20

2. Conclusion

Among the district advisors there is a serious lack of language training. The figures also indicate that advisor positions are being filled with officers who have not had Command and General Staff training. Over sixty percent have less than 15 years of service; few have had prior combat experience. Minor deficiencies exist in the area of special courses taken in preparation for an advisory position.

Other members of the advisory team show a substantial lack of language training and other special training prior to assignment.

B. What Training and/or Area Orientation Was Received Prior to Assignment as a Team Member?

1. Findings

The training and/or area orientation received by team members prior to assignment at district generally followed the same procedure for all those in the sample. The district advisor usually received two briefings upon arrival in the country: a general briefing on Vietnam and one aimed specifically at the problems faced by advisors given by MACV-CORDS.

Some advisors were critical of their initial briefings in-country. Specifically, a few noted that the content of the briefings was either unrealistic or irrelevant to the problems they eventually faced. Several of the advisors

interviewed stated that the MACV-CORDS briefing was not given until they had been at district in some cases for three or four months. All team members received a series of briefings on their province and district upon their arrival at province headquarters.

2. Conclusion

The evidence available indicates that there is a need for meaningful in-country exposure to the problems that are encountered as a district advisor.

C. How Important is Language Training to Doing an Effective Job?

1. Findings

The relationship between language training and the degree of deviation between advisor's HES ratings and the ratings generated by this study is shown in the table below. Advisors with language training were much more likely to show agreement (87%) than those with no language training (50%).

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TABLE 33. LANGUAGE CAPABILITY AND DIVERGENCE OF ADVISOR'S HES RATING AND ANALYSTS

		Language Capability Yes		No		Total	Percent
		%	No.	%	No.		
Divergence of Advisor's HES Rating From Analysts'	HES High	6.2	1	50.0	6	7	25.0
	Agree	87.5	14	50.0	6	20	71.4
	HES Low	6.2	1			1	3.6
Total			16		12	28	
Percent		57.1		42.9			100.0

Cell percent by column sum

2. Conclusion

Language training significantly improves the chances that informed ratings will be made.

D. What are Suggestions for Additions to or Deletions from Training to Optimize HES Reporting?

Recommendation

In-country orientation should be improved. The divergence in correlation coefficients for security and development factors (p. 24) highlights the need for more training in the developmental factors associated with pacification.

Highly trained and experienced personnel should be channelled to district and province advisory positions. In this connection, efforts to obtain biographical data on Vietnamese district and province chiefs should be made so as to facilitate a more rational assignment of U.S. advisory personnel; efforts should be made to assign selected U.S. field grade officers

from U.S. tactical units after a period of combat experience to the province and district advisory functions; a review should be made relative to the assignment of the "best" qualified officers to the MACV advisory positions at the district and province level in comparison with those assigned to U.S. tactical units. The amount of language and area training and of training in political and economic analysis should be increased for all province and district senior advisors. Time must be allowed for such training both in the United States and Vietnam prior to assumption of duties. The major objective is to train advisors so as to make them more aware of and sensitive to the political, social and economic problems in their districts.

E. How Important is the Presence of a Civilian Advisor at District Level and What are the Requirements for Training?

1. Findings

The table below dramatically points out the impact which a civilian advisor's presence has on informed rating. In every case where a civilian advisor was present at district level, the HES district average agreed with the district average generated by this study.

TABLE 34. CIVILIAN ADVISOR PRESENT AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

		Civilian Advisor Present					
		Yes		No		Total	Percent
		%	No.	%	No.		
Divergence of Advisor's HES Rating From Analysts'	HES High			36.8	7	7	25.0
	Agree	100.0	9	57.9	11	20	71.4
	HES Low			5.3	1	1	3.6
	Total		9		19	28	
	Percent	32.1		67.9			100.0

Cell percent by column sum.

2. Recommendation

We strongly urge the placing of a civilian advisor in as many districts as is feasible. Although this study did not include analysis of civilian background and training, it is as important that the best qualified civilians be selected for district posts as it is for military personnel. The same caveats hold with respect to training civilians as with respect to officers -- particularly the need for language training and instruction in the developmental factors.

ANNEX I

HES RATING COMPARISONS

To determine the reliability of the advisors' hamlet ratings, the HES analysts compared the advisors' ratings of selected HES indicators and problem areas with those derived from the analysts' three methods of rating hamlets. The following correlation coefficients for each of the HES inputs, ranked according to degree of agreement, emerged from the analysis. Not all indicators or problem areas of the HES proved rateable under these three methods. Only those which were are presented below.

Correlation of Hamlet Citizens' Ratings with HES:

Indicator:

1.c.	VC Military Incidents Affecting Hamlet	.384
5.b.	Education	.269
6.b.	Public Works	.255
3.a.	Hamlet Defense Plan and Organization	.249
3.b.	Friendly External Force Assistance	.197
6.a.	Self Help Activity	.170
5.a.	Medical Services and Public Health	.104
4.b.	GVN Response to Popular Aspirations	.053
6.c.	Economic Improvement of Programs	.046
5.c.	Welfare	.019
4.a.	GVN Governmental Management	.000

4.c.	Information/Psychological Operations Activities	-.031

Problem Areas:

7.a.	Percent Refugees in Hamlet	.163
10.	Condition of Main Routes from Hamlet to Village Center	.054
2.	Actions by Friendly Elements During Military Operations Adversely Affecting Relations with Hamlet Populace	.033
1.	Incidents of Misconduct Adversely Affecting Friendly Relations with the Hamlet Populace	-.061

Correlation of Hamlet Chief Ratings with HES:

Indicator:

1.c.	Military Incidents Affecting Hamlet	.509
2.c.	VC Political and Subversive Activities Affecting the Hamlet	.427
3.b.	External Force Assistance	.370
5.c.	Welfare	.361
5.b.	Education	.302
3.a.	Hamlet Defense Plan and Organization	.299
4.a.	GVN Governmental Management	.277
4.b.	GVN Response to Popular Aspirations	.274
4.c.	Information/Psychological Operations Activities	.235
6.b.	Public Works	.206
5.a.	Medical Services and Public Health	.151
6.c.	Economic Improvement Programs	.142

6.a.	Self-Help Activity; Civic Action	.121

Problem Area:

7.a.	Percent Refugees in Hamlet	.534
8.b.	GVN Tax Collection	.351
8.a.	VC Tax Collection	.326
6.a.	Local Sources of Drinking Water Inadequate	.292
7.b.	Adequacy of GVN Assistance to Refugees	.221
10.	Condition of Main Routes From Hamlet to Village Center	.078
2.	Actions by Friendly Elements During Military Operations Adversely Affecting Relations with Hamlet Populace	.020
6.b.	Plans (Work Underway to Improve Local Drinking Water Supply)	-.002
1.	Incidents of Misconduct by Friendly Elements Adversely Affecting Relations with Hamlet Populace	-.072
5.	Supplies From Outside Hamlet or Village for Self-Help Projects	-.158

Correlation of Analysts' Subjective Ratings with HES:

Indicator:

1.c.	VC Military Incidents Affecting Hamlet	.535
5.b.	Education	.389
3.b.	Friendly External Force Assistance	.354
3.a.	Hamlet Defense Plan and Organization	.351
4.a.	GVN Governmental Management	.197
6.b.	Public Works	.194
5.a.	Medical Services and Public Health	.182

5.c.	Welfare	.166
6.c.	Economic Improvement Programs	.124
4.b.	GVN Response to Popular Aspirations	.116
6.a.	Self-Help Activity; Civic Action	.061
4.c.	Information/Psychological Operations Activities	.054

Problem Area:

7.a.	Percentage Refugees in Hamlet	.427
2.	Actions by Friendly Elements During Military Operations Adversely Affecting Relations with Hamlet Populace	.091
1.	Incidents of Misconduct by Friendly Elements Adversely Affecting Relations with Hamlet Populace	-.017
10.	Condition of Main Routes from Hamlet to Village Center	-.026

The generalization to be made from these comparisons is that the district advisor is much more reliable in his ratings in the "security" areas of the HES than he is in the "development" areas. The high rank attained by the education indicator may be attributed to the ease with which it can be quantified; counting heads and classrooms can yield a reasonably accurate rating. The same explanation is appropriate for the relatively high agreement between the hamlet chief, subjective and HES ratings on the percentage of refugees in the hamlet.

ANNEX II

DOES THE DISTRICT ADVISOR CONSIDER IT MORE IMPORTANT TO SHOW PROGRESS OR TO REPORT REALITY?

Explanation of Method of Analysis

Inherent in the above question are two issues, the tendency of the advisor to show change in his ratings, and the tendency of the advisor to reflect "progress."

The purpose of the analysis of the first issue is to determine if an advisor's time in district affects his willingness to make changes (Appendix I). The percent of districts in which change occurs is compared with the length of time the HES has been operative. This procedure will help to determine if the shakedown period of the HES in itself influenced the sensitivity of the ratings (Appendix II).

The purpose in analyzing the second issue, that of reporting "progress," is to determine if time in district influences the direction in which changes are made, i.e., whether up or down (Appendix III).

To correct for the possible influence of the HES shakedown period, a comparison is made between the length of time the HES had been installed and the percent of hamlets rated either up or down (Appendix IV and its enclosure).

Data on the attitudes of the advisors on the issue of reflecting progress were gathered by the interview technique. Changes in rating were derived from the HES entries themselves.

Qualifications to the Statistical Analysis

The following limitations to the analysis appearing in the attached charts should be noted. First, the size of the sample treated in each chart decreases as the advisor's length of service increases. This is explained by the fact that fewer advisors had been in their districts for eight months, or since January, than had been in their districts for one month, or in September. Each of the charts contains a breakdown by Corps of the number of districts and hamlets included in the analysis at a particular month.

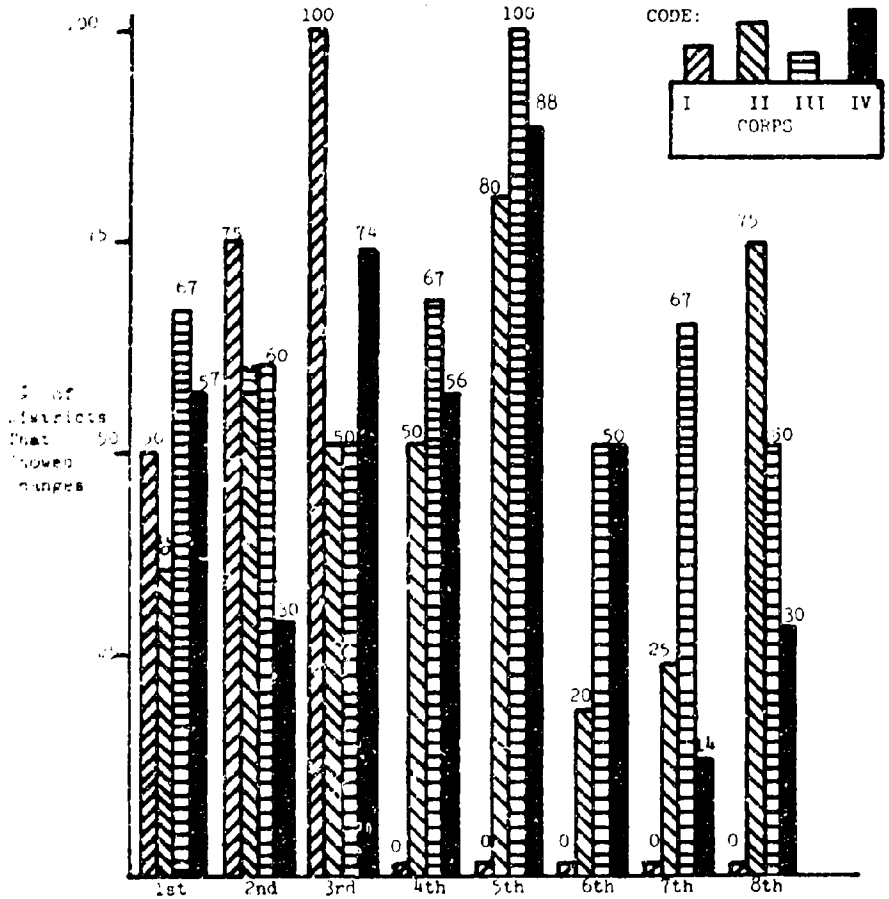
Second, hamlets labeled as "VC" have been excluded from the analysis. This action was taken since "VC" hamlets are unrated hamlets, and the analysis only considers rated hamlets. However, when a VC hamlet was upgraded, e.g., to an E or a D, it was carried as a change and added to the sample.

Third, three of the four I Corps advisors in the sample had been in district for three months or less. Only one advisor constituted the I Corps sample for five of the eight months covered by the analysis. Comparing this lone sample with the averages for the other three corps would be misleading.

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APPENDIX I

Effect of Advisor's Longevity in District on Willingness to Make Changes in HES

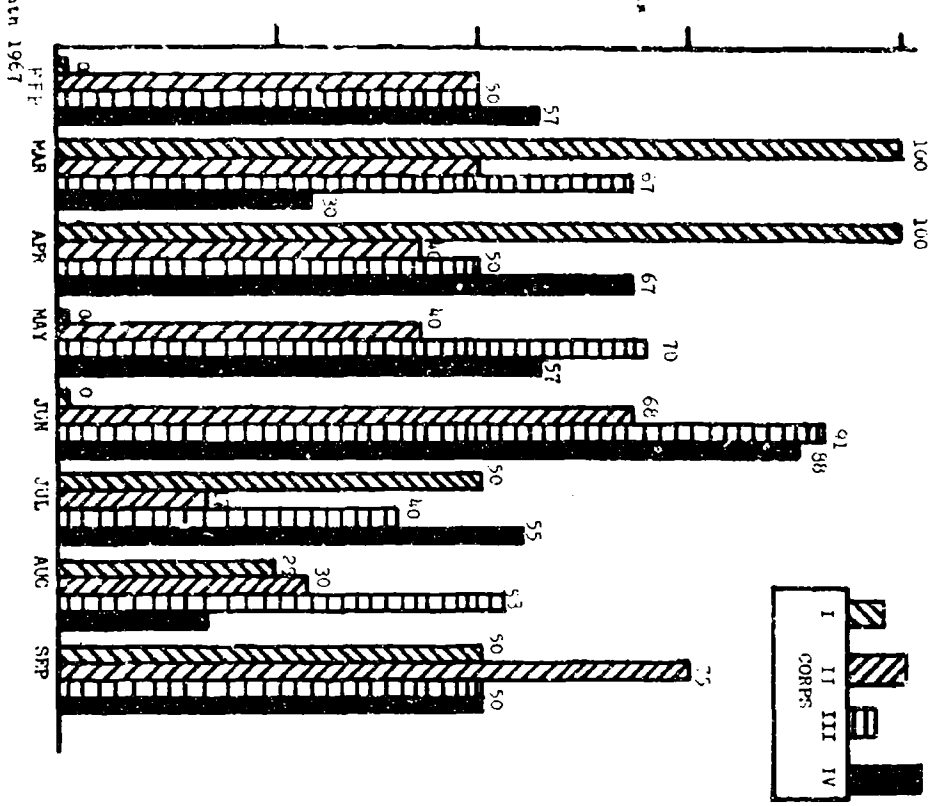


	Month	# Hamlets Covered by Analysis	# Districts Covered by Analysis
I CORPS	1	183	4
	2	183	4
	3	97	2
	4	51	1
	5	51	1
	6	51	1
	7	51	1
	8	51	1
II CORPS	1	739	8
	2	638	7
	3	391	6
	4	391	6
	5	334	5
	6	334	5
	7	278	4
	8	278	4
III CORPS	1	475	15
	2	476	15
	3	395	12
	4	332	9
	5	247	7
	6	198	6
	7	198	6
	8	198	6
IV CORPS	1	571	12
	2	483	11
	3	415	9
	4	415	9
	5	550	8
	6	524	7
	7	524	7
	8	524	7

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APPENDIX II

% of Districts Showing Change by Month

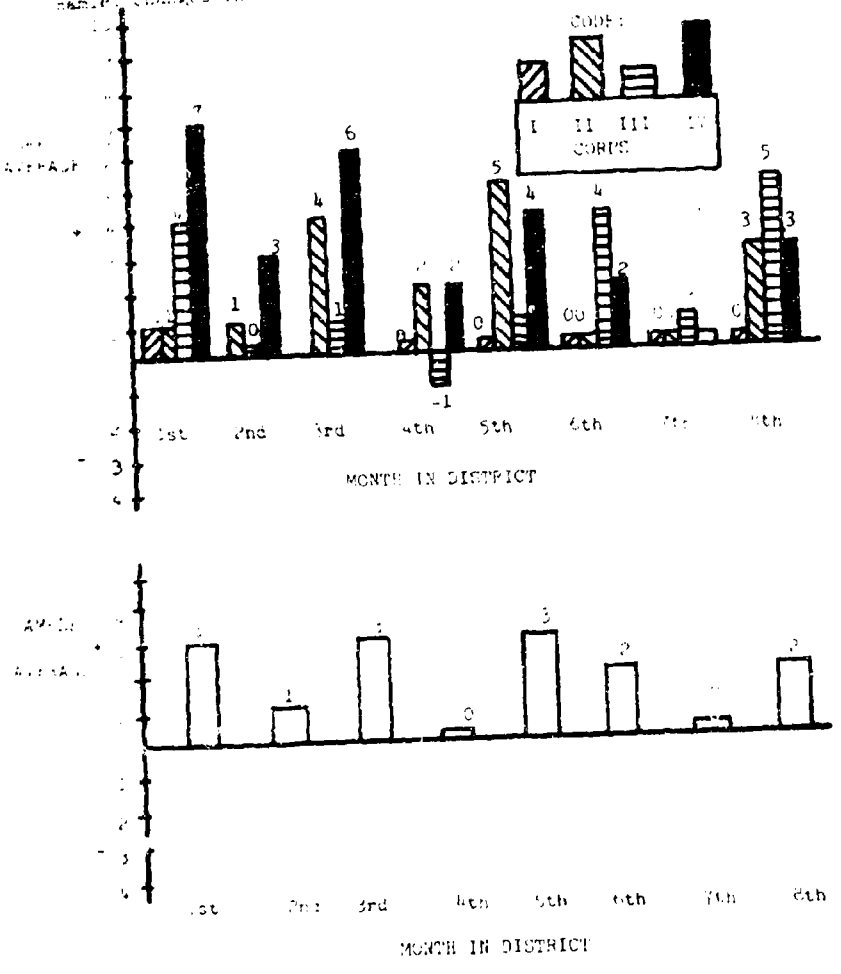


Month	No. of Districts in Analysis			
CORPS:	I	II	III	IV
FEB	1	4	6	7
MAR	1	4	6	7
APR	1	5	6	8
MAY	1	5	7	9
JUN	1	6	9	9
JUL	2	6	12	11
AUG	4	7	15	12
SEP	3	7	15	12

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APPENDIX III

Hamlet Changes in SAF According to Longevity in District



Percent of hamlets in surveyed districts which changed up or down

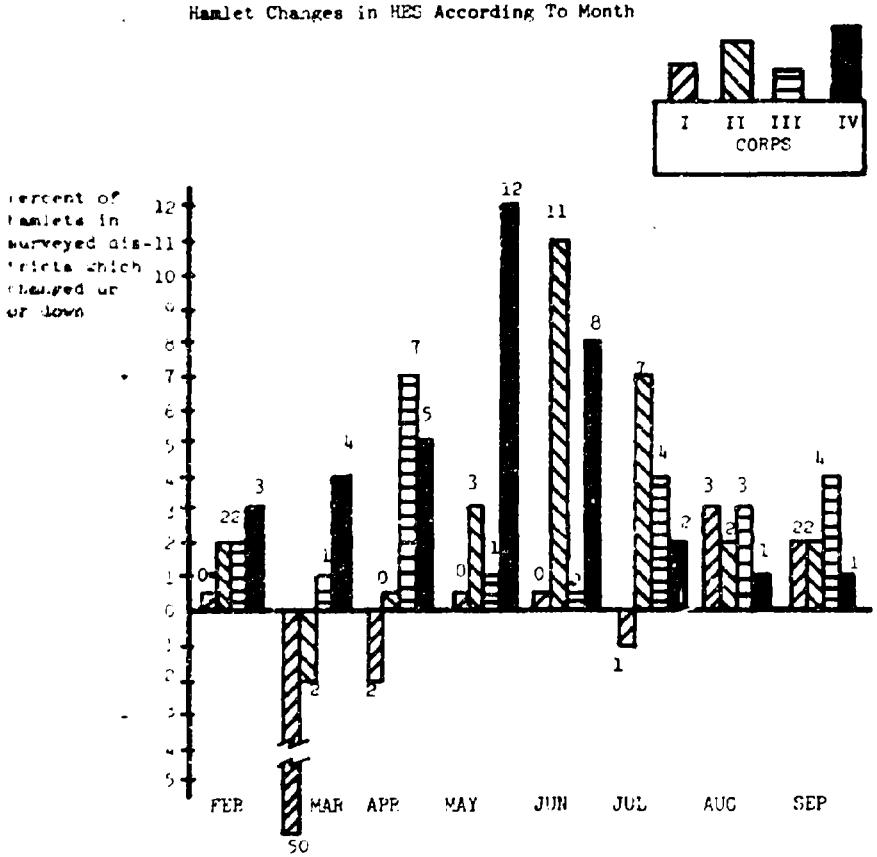
(See Appendix I for number of hamlets and districts covered by analysis)

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APPENDIX IV

Hamlet Changes in HES According To Month



	MONTH	# District Covered by Analysis	# Hamlets covered by Analysis
I CORPS	FEB	1	51
	MAR	1	51
	APR	1	51
	MAY	1	51
	JUN	1	51
	JUL	2	97
	AUG	4	185
	SEP	4	183
II CORPS	FEB	4	272
	MAR	4	272
	APR	5	328
	MAY	5	328
	JUN	6	377
	JUL	6	385
	AUG	7	632
	SEP	8	741
III CORPS	FEB	6	198
	MAR	6	198
	APR	6	198
	MAY	7	247
	JUN	8	332
	JUL	12	395
	AUG	15	476
	SEP	15	476
IV CORPS	FEB	7	324
	MAR	7	324
	APR	8	350
	MAY	9	415
	JUN	9	415
	JUL	11	483
	AUG	12	571
	SEP	12	571

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ANNEX III

CORRECTION OF UNCLEAR AND AMBIGUOUS HES TERMINOLOGY

OBJECTIVE 48

The goal in perfecting HES instructions should be to create rules for rating that very clearly reflect to the audience of district advisors the perimeters of every grade "E" through "A". Some of the terminology in indicator 5b, Education, is an example of how, in some cases, this has not yet been accomplished.

b. Education

(1) (1) General. Most of the people in the country-
(2) side have had little opportunity for education and many
(3) are illiterate. Much stress is being placed by the GVN
(4) on providing a primary education for school-age children
(5) by constructing classrooms and providing trained teachers,
(6) books and essential supplies. The RD program includes
(7) provision for elementary adult education as well.
(8) Opportunities for securing education beyond primary grades
(9) are still extremely limited, however, and usually
(10) confined to province capitals. The evaluator should
(11) consider not only what education facilities are available
(12) but to what degree these are being staffed with teachers
(13) and used by the populace who have access to them.
(14) (2) Ratings

E. No GVN-sponsored education facilities or activities are available, although some informal instruction may be provided by the village elders or Catholic priest.

D. Some part-time sponsored education activities may be underway but no full-time program exists and no permanent classrooms are available or these available are not used or not used to capacity.

C. Formal GVN-sponsored primary education is underway in accessible permanent classrooms, but at least 25% of school age children are not enrolled, either because there is no room for them or the families are not interested.

B. Full primary education facilities are readily accessible to all children in the hamlet. At least 90% of hamlet children are enrolled although attendance may be irregular. Some adult literacy training may be underway.

A. Complete primary education facilities are readily accessible to all children and at least 90% of hamlet children attend. In addition, a systematic adult literacy program is underway, and there is access to secondary education facilities or to vocational training for those desiring it.

The instructions are to be used in rating a hamlet but

they do not make clear what relation the "education", mentioned in lines 3, 4, 7, 8 and 22, "education activities", mentioned in lines 16 and 18, and "educational facilities", in lines 11, 15, 26, 31 and 35 have to the hamlet. The terms "available" and "accessible" do not immediately and clearly describe the relationship. Do they mean "available" or "accessible" in the hamlet? For a reader not accustomed to careful discrimination and analyses of terms, such an interpretation might be made from the sentences on lines 26, 27, 28 and 29. A simple juxtaposition of "in the hamlet" to before "all the children" makes it mandatory that a primary school be located in the hamlet before the education indicator can be rated "B".

With analysis one can see that this is not the proper meaning of the words in the "B" category. The point is whether the children of the hamlet are getting to school, not whether there is a school physically located in the hamlet. However, it would be more desirable to have the guidelines so plainly presented that linguistic analysis is unnecessary. The fact that the HEW under the "C" rating for this indicator clearly allows the classrooms to be in the village or the hamlet only underlines the point made in the discussion as Objective 4P, that there is a lack of integration in the HES instructions.

ANNEX IV

THE RELATIONSHIP OF SIZE OF HAMLET TO ACCURACY OF RATING

This annex examines the relationship between the size of a hamlet in terms of population and rating accuracy. Hamlets were grouped into three categories: Large (population over 2500); medium (population 1000-2499); small (population under 1000). When the size of a hamlet is related to the degree of accuracy of the HES ratings, a definite pattern emerges. This is summarized in the table below.

TABLE 39. HAMLET SIZE BY POPULATION AND DIVERGENCE OF ADVISOR'S HES RATING FROM ANALYSTS'

Hamlet Size by Population

Divergence of Advisor's HES rating from analysts'	Large		Medium		Small			
	%	No.	%	No.	%	No.	Total	%
HES HIGH	40.7	11	27.3	15	20.8	5	31	29.2
AGREE	59.3	16	70.9	39	75.0	18	73	68.9
HES LOW			1.8	1	4.2	1	2	1.9
Total		27		55		24	106	
Percent	25.5		51.9		22.6			100.0

Cell percent based on column sum

From the evidence above, it is clear that the larger the hamlet is, the lower is the rating accuracy. It should also

be noted that it is the larger hamlet which receives the optimistic rating. This may be because in large hamlets, the situation is more complex than in small hamlets. Also in large hamlets there will almost always be some sort of government presence and activity on which the advisor's attention will be focused.

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ANNEX V

CONTENTS

OF

PROVINCE ADVISOR

INTERVIEW

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PROVINCE DATA SHEET

I. Military Environment

A. Report by

B. Date

C. Province

D. Principal team members (Rank, Name, TD Assignment, Language Ability, DOA, DEROS)

E. Other US non-province advisors in province (e.g. advisors to ARVN)

F. Description of province advisory compound and offices

1. Security factors

What are provisions for defense of province headquarters? (Describe in terms of troop strength, ordnance capability, fortification.)

G. Administrative and logistical support factors to province. (Describe in terms of supply and mess system, communication support, etc.)

H. Military forces present in province (units)

1. U.S.

2. Allied

3. ARVN

4. RF

5. PF

6. PFF

7. CIDG

8. PRU

9. APT

10. RS Cadre: No. of teams
Total manpower

II. Ecology

A. Political units

1. Number of districts _____.

2. Number of villages _____, elections (%) _____.

3. Number of hamlets _____, elections (%) _____.

B. Population data

1. Province

2. Largest town-like area _____

Name _____

C. Religious and ethnic data

1. Religious Data % of population

a.

b.

c.

2. Ethnic data % of province population

a. Vietnamese

1) Northern

2) Southern

b. Non-Vietnamese

1) Montagnards

2) Chams

3) Chinese

4) Khmers

5) Other

D. General character and economy of province

1. General character (i.e. terrain, climate)

2. Economy

III. Proximity to GVN counterpart and Vietnamese population.

A. GVN counterpart. (Describe in terms of living, working, and social contact.)

B. Participation in GVN planning organizations

1. Provincial RD Council. (Describe)

2. Provincial Intelligence Center. (Describe)

3. Tactical Operations Center. (Describe)

C. Vietnamese population. (Describe in terms of living working, and social contact.)

IV. Review of District Hamlet Evaluations

A. Responsibility for review of HES reports (describe fully).

B. Persons interviewed

1. Interviewer's assessment of respondent's knowledgeability on topics covered.

2. Interviewer's assessment of respondent's candor.

3. Any observed conditions, not previously covered, which bear on HES? (This is intended as a catch-all.)

4. If this province is to be covered by a VIT,

a. Dates of VIT coverage

b. Names of team

c. Districts visited.

V. Interview

1. Are the code on the printout which comes to you from district and the meaning of the code understandable to you?

   CFI 1. Deciphering the code itself

   CFI 2. Understanding the content of the material

2. What types of information do you normally use in reviewing the HES report?

   CFI 1. Past HES report from the same district?

   CFI 2. Other written reports?

   CFI 3. Information obtained by review in the field?

   CFI 4. Other information?

3. How much time is spent reviewing the HES report?

4. Do most district advisors understand the HES? If not, why?

5. Do most district advisors consider HES as an important report? If not, why?

6. Do you think that district advisors are accurate in their rating?

   CFI 1. Which of the factors 1 through 6 do you consider the most reliable and which the least reliable?

7. Are the rating criteria too ambiguous when matched against the actual situation with which districts are faced?

   CFI 1. Cover all factors 1-6

8. Does the lack of the inclusion of religious and ethnic questions make HES a substantially less valuable report?

9. Are you able to see any progress or change in status of hamlets during the period of a month?

10. How often should the report be made?

11. What is the general basis for province's evaluation of the district advisor and the assistant district advisor's performance?

12. Have you ever requested a district advisor to alter his rating? If so, cite specific instances.

13. Have you ever non-concurred in a district advisor's rating? Explain, if you have, with examples.

14. Have you ever filled in the remarks section of the report? If you have please relate a few instances.

15. Are most district officers adequately trained in all six of the factor areas covered by HES?

CFI 1. Be certain to cover all 6 factors measured by HES with the idea of discovering where training has been the strongest and where it has been the weakest.

16. Are most district enlisted men and non-coms. adequately trained?

CFI 1. Be certain all factors measured by HES are covered with the idea of discovering where training has been the weakest.

17. Describe any training offered to officers here at province before going to district.

18. Describe any training offered to enlisted men and non-coms. here at province before going to district.

19. Is increased training and orientation for officers needed at province before going to district?

20. Is HES employed by province to inform district teams

on the situations in other districts in the province? Explain.

21. Are HES reports traded with neighboring provinces to keep informed on developments in a multi-province area?

22. If such inter-provincial trading is done, does the information gained about neighboring province get transmitted to district?

23. Is HES used at sector level for planning and programs of any kind? If so, discuss in detail.

CFI 1. Cover factors 1-6 of HES, i.e. is HES used in any of these areas for plans and programs.

24. Have potential uses of HES occurred to you or other personnel at Province?

CFI 1. Cover all 6 factors.

25. Have you any knowledge of GVN attempts to influence how a hamlet is rated?

26. Have you heard any discussion of HES by Corps advisory staff? If so, discuss in detail.

27. Do you have any suggestions for improvement of HES in any of the 6 factor areas?

28. What other reports do you submit that contain similar information to that reported by the HES?

* Considerations for interviewer: If this information is given in answer to the principal question, there is no need to ask about it. However, before continuing to the next question, it should be covered in some manner.

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ANNEX V:

CONTENTS

OF

DISTRICT ADVISOR

INTERVIEW

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I. Military Environment

A. Report by:

B. Date:

C. Province and District:

D. Team members (Rank, Name, TD Assignment, Language ability, DOA, DEROS)

E. Other US non-District advisors in District (e.g. advisors to ARVN)

F. Description of District advisory compound

1. Location factors

a) District town

b) Non-District town

c) Special Forces camp

2. Security factors

a) What are the provisions for defense of District compound (Describe in terms of troop strength, ordinance capability, fortifications, etc.)

G. Administrative support factors to District. (Describe in terms of supply and mess system, communications, support, etc.)

H. Military forces present in District (in units)

1. US

2. Allied

3. ARVN

4. RF

5. PF

6. PFF

7. CIDG

8. PRU

9. ATR

10. RD

II. Ecology

A. Political units

1. Number of hamlets _____ elections _____%

a) How rated on last three printouts

2. Number of villages _____ elections _____%

B. Population data

1. District

2. Largest town-like area

a) Name

b) Population

C. Religious and ethnic data

1. Religious

2. Ethnic

a) Vietnamese

1) Montagnards

2) Chams

3) Chinese

4) Khmers

5) Other

D. General character and economy of the district

1. General character (i.e. terrain, climate)

2) Economy

III. Proximity to GVN counterpart and VN population

A. GVN counterpart (describe in terms of living, working, and social contacts)

B. Participation in GVN planning organizations

1. RD Council

2. Intelligence Committee (DOICC)

3. Tactical Operations Center

C. Vietnamese population (Describe in terms of living, working, and social contacts)

IV. Interview

1. How is the HEW data accumulated from VN sources and how reliable are these sources?

2. How is the HEW data accumulated from US sources and how reliable are these sources?

3. What is the quality of records maintained for VC sightings and incidents over the past two years?

a. In district

b. In province

4. What is the quality of records maintained for the personnel of the hamlet and village infrastructure?

   a. In district

   b. In province

5. What is the quality of records maintained for biographic data of friendly elements?

   a. In district

   b. In province

6. What is the quality of records maintained for RD activity?

   a. In district

   b. In province

7. What is the quality of records maintained for the economy?

   a. In district

   b. In province

8. What degree of access to these records does the advisor have?

9. What use is made of them?

10. What and how much information was available from advisor's predecessor?

11. What degree of communication exists with bordering districts on mutual civil and military problems?

12. How much time does data collection take?

13. How many hamlets are visited per reporting period?

14. What are the advisor's comments on transportation to hamlets?

    a. Logistical factors

    b. Security factors

15. Does the advisor tend to emphasize "data collection" or "observation"?

16. What is advisor's relationship with village and district chiefs?

17. Does he discuss HEW with district chief and with hamlet chief?

18. How much cross checking is done?

    a. Of GVN supplied data

    b. Of US supplied data

    c. Other

19. Does his data gathering system appear to be particularly successful? If so, why?

20. Are HEW questions natural and easy to answer?

21. Are there possible ambiguities or inconsistencies in the HES guidance outline? (e.g. "C" of Military Activities category and "C" of External Guerrilla Activities)

22. What are the advisor's comments on HEW indicators 1-6?

23. On problem areas 1-3
    4,5
    6,7
    8
    9,10

24. How would the advisor weigh each of the six factors?

25. What additional factors should be included on the HEW and what factors should be deleted?

26. To what extent are any of the factors inter-related: That is, does a change in the rating for one affect a rating in another?

27. Could the advisor rate VC villages: That is, would he rate them in more detail than just grading them VC on the HEW?

28. What information on them does he have?

29. Can he discuss HEW Problem Areas for these VC villages?

30. Does on-the-job experience affect evaluations?

31. What special characteristics of this particular district make aspects of the form inappropriate? (e.g. lack of security, extensive size of district, etc.)

32. What is the desirability of submitting written comments as an annex?

33. What is the SSA's interpretation of "Confidence levels"?

34. What team member(s) prepares the HES report?

    a. Individual

    b. Committee-List

35. What other US non-team members are consulted or involved in the preparation of the report?

36. How much time or man-hours are devoted in completing the report?

37. Should some one other than or besides the respondent be responsible for completing the HEW?

38. Is the MACV guidance timely for preparing the report: That is, do you feel you were prepared by the guidelines originally to make out the report, and were you prepared by guidelines for changes in the report?

39. Are you provided additional guidance by province and regional advisors originally and for any changes?

40. Have there been any beneficial changes in the guidelines?

41. How much, if any, lag in time exists between the scheduled and actual receipt of forms and of reports?

42. How does HEW compare with other reports you must make?

    a. In design

    b. In time taken to complete

    c. In relevance to your problems

    d. Duplications

43. What use is made of the print-out?

44. How should it or could it be used?

45. Is it used as a check-list in achieving goals?

46. Has the HES affected the performance or interpretation of duties?

47. Are you able to see any progress or changes in hamlet status during the period of a month?

48. How often should the HEW be submitted?

49. What command emphasis or attention is given in the preparation of the HES report by the SSA or members of his team?

50. How much time does advisor estimate he spends in an advisory capacity?

51. What kind of modus operandi has been developed by the team for planning purposes?

52. Does the advisor use HES data to brief tactical forces operating in district?

53. Is HES terminology being employed by the team to designate hamlet situations on a day-to-day basis?

54. What temptations exist to be careless: That is, not to take the HES seriously?

55. Does the advisor believe that ratings might affect promotion opportunities?

56. Are pressures exerted from any other US source than the promotion area which might in themselves affect initial or later ratings?

57. Do you ever feel any GVN pressure on how to rate hamlets?

58. Any reaction to HES officer being a civilian answering "military" questions and vice versa?

59. In the evaluation, is there more of tendency to focus on the progress made over the past month or so, than on new or chronic problems?

60. What is the career background of the two officers and team members?

61. Did the two officers go through the:

    a. MATA course at Ft. Bragg?

    b. Five-day Saigon Course?

62. Opinion of value of these courses to prepare for district assignment.

63. What additional training might be valuable?

64. What aspects of the training program should be emphasized more than they here?

65. What aspectscould be eliminated?

66. What is the importance of language training?

67. Is conversing in English with counterpart satisfactory?

68. What is advisor's knowledge of the structure of the local leadership?

69. What is the advisor's knowledge of the local economy (e.g. ownership and control, rent, taxes, and how collected)?

70. What information is he provided by province or CORDS representatives on language, agriculture, public health, etc.?

71. Is the advisor aware of any recent increase or decrease in the acceptability of the American advisory effort on the part of the Vietnamese?

72. What training literature and field manuals are on hand and used?

73. What emphasis is placed on training of district team personnel for:

    a. Night ambushes

    b. Equipment maintenance

74. Are any US personnel (team or non-team) used to train RF/PF in the district?

V. Assessment Material

1. Interviewer's assessment of respondent as an advisor.
2. Interviewer's assessment of respondent's candor.
3. Any observed conditions, not previously covered, which bear on HES? (This is intended as a catch-all.)
4. Hamlets visited by US wing of the HES team.
5. Other areas visited by US wing at district.
6. If this district is to be covered by a VIT,
   a. Dates of VIT coverage
   b. Names of team
   c. Hamlets visited

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ANNEX V:

CONTENTS

OF

VIETNAMESE HAMLET CHIEF

INTERVIEW

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1. HES Score _____

2. Interviewer _____

3. Date _____

4. Province _____ District _____
   Village _____ Hamlet _____

5. Title of person interviewed _____ is he elected? ___

6. Interviewer's assessment of informant:

   a. Competence

   b. Candor

7. Interviewer's assessment of nature and condition of the economy of the hamlet.

8. Interviewer's description of the topography and fertility of the hamlet.

9. Where does your hamlet get its drinking water?

10. If this is not nearby, are there any plans to develop a local drinking water supply?

11. Is it adequate?

12. Is the hamlet on a road?

13. If yes, describe the road:

14. Do many people in the hamlet regularly go to the village center?

   a. By what means of transportation?

   b. Can the trip be made at night?

15. Is the hamlet

   a. Usually poor?

   b. Average?

   c. Relative prosperous?

16. What per cent of the population are involved in what occupations?

17. How many refugees live in the hamlet?

18. Does the hamlet or the village in which it is located have:

    a. Electricity - where?

    b. A market - is it safe to go there in the evening?

    c. A store - how many? What goods do they deal in?

    d. A public TV set?

    e. Radios - how many, who owns them?
       What are the popular programs?

    f. A VIS cadre - how successful is it in disseminating information?

    g. An RD team - what does it do? What do the people think of the census grievance team?

    h. A school - what per cent of children are enrolled?

    i. A health facility - is it adequate?

19. Are there any local industries in the hamlet, or the village in which it is located?

20. Are there any kinds of industries that might be introduced?

21. How much effort is there on the part of the hamlet population to improve their own economic well-being?

22. How much initiative does the public take in selecting and in constructing self-help projects?

23. What does the respondent think of the supply system of the district and province for these projects?

24. How adequate and broadly based are GVN welfare services?

25. How often do GVN welfare officials visit the hamlet?

26. What kind of welfare benefits are available to the people?

27. What does the hamlet need?

28. What kind of outside support is there for these programs?

29. What kind of economic improvement programs are underway?

30. Who owns or controls the land in the hamlet?

31. What are the taxes in the hamlet? How are they collected? Who collects them?

32. Have there been elections for local officials? If yes, what percent of the hamlet population participated in the last elections?

33. What kinds of conflicts are there between the hamlet members? Between the hamlets in the villages?

34. What are the sources of conflict?

35. How strong is the VC in the hamlet? In the village?

36. Do they collect taxes?

    a. _____ in hamlet

    b. _____ along roads from hamlet

37. What is the attraction of the VC?

38. How much of a problem do the VC create for hamlet and village security?

39. How does the respondent judge the effectiveness of the political and subversive activities of the VC in the hamlet?

40. What has been the trend of activity over the past 6 months?

41.. How well conceived and effective is the hamlet's defense plan and organization? How much reliance must be placed on external forces?

42. How necessary are external forces in maintaining the security of the hamlet?

43. How well do they do their job?

44. Who are the most influential people in the hamlet?

45. Who are the richest?

46. How do they get along with each other?

47. Of what value are information and propaganda activities?

48. Does the American advisory team (co-van) consult with the respondent on conditions in the hamlets?

49. On what matters do they consult?

50. How often and in what manner do they consult?

51. What do they do?

52. How often does an advisor visit the hamlet?

53. Have general conditions in the hamlet improved or deteriorated in the past 6 months?

54. Any incidents of misconduct by friendly forces, U.S. or VN in the area?

55. How can things be improved?

1. When you or a member of your family is very ill, from where do you obtain treatment?

2. Is there a health facility in the village appropriate to the needs of the villagers?

   a. _____ Yes

   b. _____ No

   If yes, what is it?

3. How is the harvest this year in this area?

   a. _____ Good

   b. _____ Fair

   c. _____ Poor

4. How does it compare with the harvest last year?

5. About how much income does your family receive?

6. For what period of time? _____

7. What is the occupation of your family?

8. What are the advantages of (this occupation) in this area?

9. What are the disadvantages of (this occupation) in this area?

10. Have you ever considered changing your occupation to something else?

    a. _____ Yes

    b. _____ No

    Why or why not?

11. If you have or were to have a son, what occupation would you hope he would follow?

    Why?

12. Would it be possible for him to follow this occupation under the present conditions?

    a. _____ Yes

    b. _____ No

    Why or why not?

13. Would you like him to enter the Military?

    Why? _____

    Why not? _____

14. Please tell me, is it safe for you to go the market place in the evening?

15. When was the last time you visited the province capital?

16. Please tell me, who is the district chief?

17. Please tell me, who is the hamlet chief?

18. From what two items in the following list do you obtain the most news and information:

    a. _____ radio

    b. _____ newspapers

    c. _____ VIS loudspeakers

    d. _____ VIS bulletin boards

19. Do any of the following organizations exist in this village?

    a. _____ a religious organization

    b. _____ a group

    c. _____ an association

    d. _____ a political party

    e. _____ a cooperative

    f. _____ other

20. Do you have any children?

21. If respondent has children:

    a. _____ No. of children

    b. _____ age of eldest child

    c. _____ age of youngest child

22. Do you send all your school age children to school?

    a. _____ yes

    b. _____ No

    (If no, why not?)

23. Did you vote in the last elections?

    a. _____ yes

    b. _____ No

    Why or why not?

24. If not previously indicated, were these local elections?

25. If yes, were these elections for:

    a. _____ hamlet chief

    b. _____ village chief

    c. _____ hamlet council

    d. _____ village council

26. Have you heard about the RD teams working in some villages?

27. If yes, what kind of things have you heard they do?

28. Have they done anything in this hamlet?

29. If yes, have ever talked to a member of the RD's census grievance team?

30. What do you think about the activity of the RD team?

31. In general, how prosperous do you feel that the people in the hamlet are?

a. _____ poor

b. _____ average

c. _____ prosperous

32. Do most people in this hamlet own their own land?

33. Are there refugees living in the hamlet or the village?

a. _____ only a few

b. _____ some, but not a lot

c. _____ many

34. What do you suggest to the GVN to make things better in Vietnam now?

35. In the last few years some things have gotten better in Vietnam and some things worse. What changes have been made for the better?

36. Is it better now for the villagers?

a. _____ yes

b. _____ no

Why or why not?

37. What has the government done to provide security for the hamlet?

38. If you were able to, would you move away from this hamlet?

_____ yes

_____ no

39. If yes,

Where? _____

Why? _____

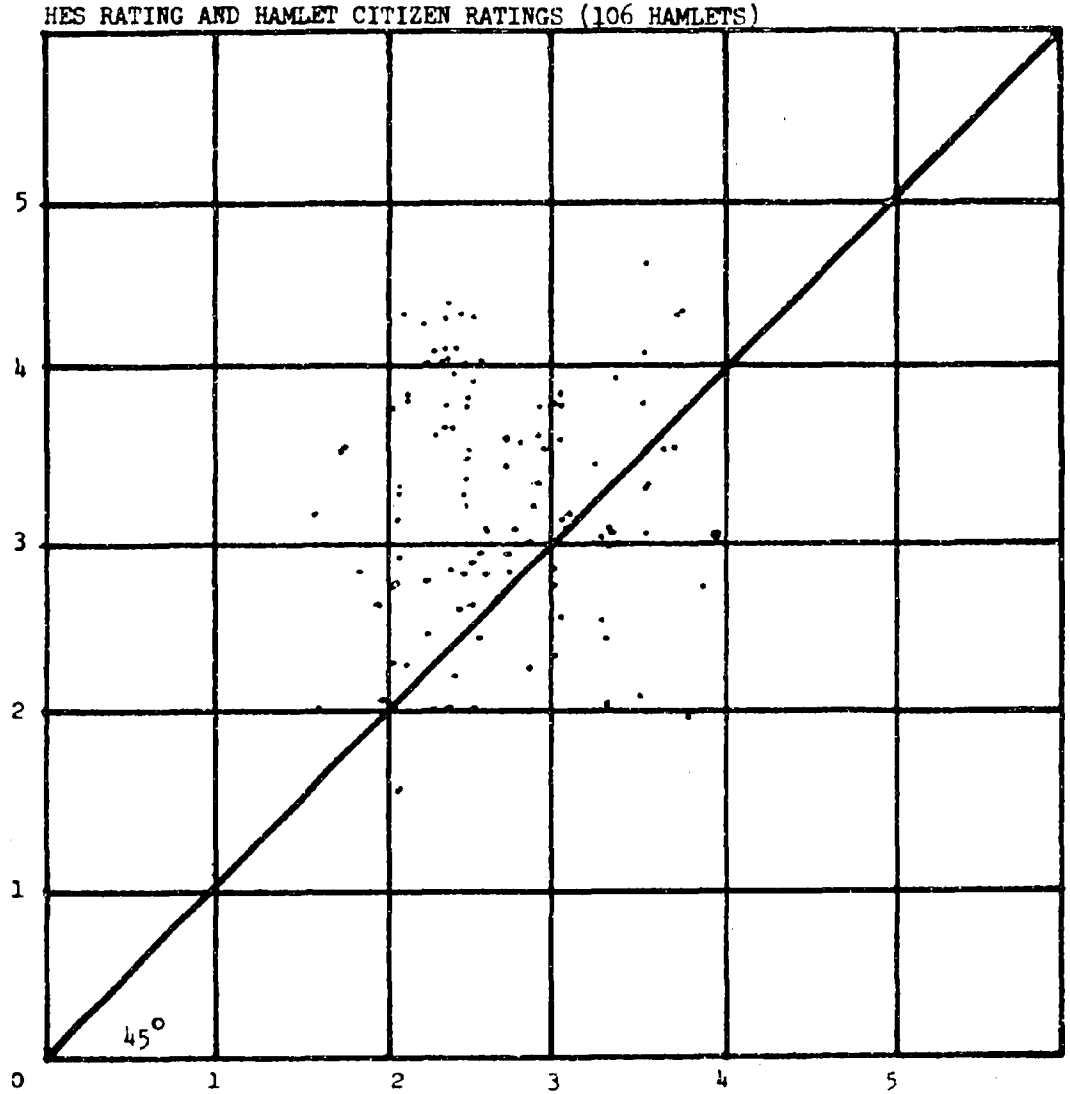
If no,

Why not _____

ANNEX VI

These scatter diagrams graphically portray the relationship between the average ratings obtained with the three rating methods of this study and the HES average ratings for 106 hamlets. Were the ratings identical for all 106 hamlets under a given method and the HES, then all 106 dots would fall along a 45 degree line. Where HES ratings are higher than this study's ratings, the dot is above the 45 degree line; conversely, where HES ratings are lower than this study's ratings, the dot falls below the 45 degree line.

SCATTER-DIAGRAM OF RELATIONSHIP BETWEEN ADVISOR'S
HES RATING AND HAMLET CITIZEN RATINGS (106 HAMLETS)



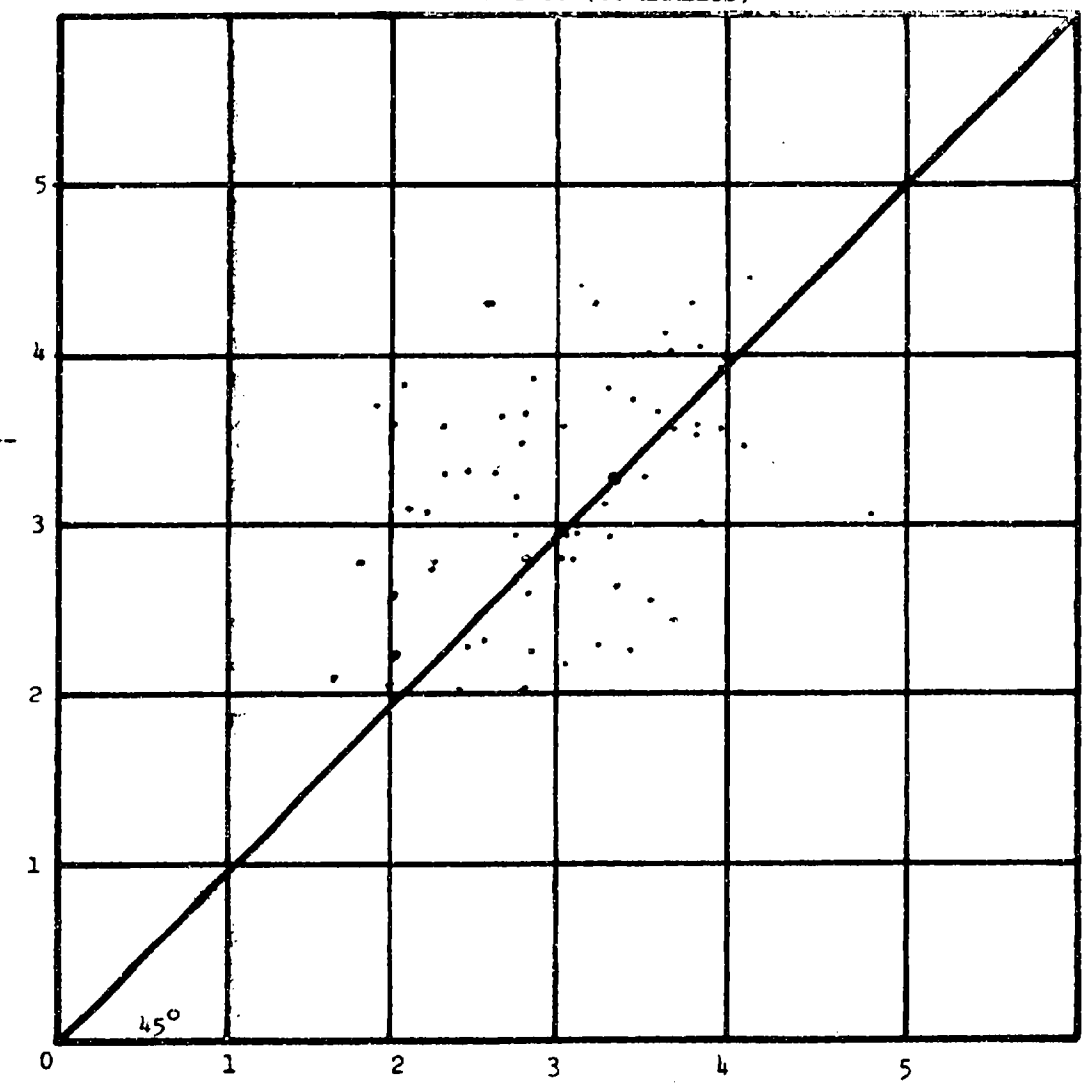
HAMLET AVERAGE - HES

HAMLET AVERAGE _ HAMLET CITIZEN

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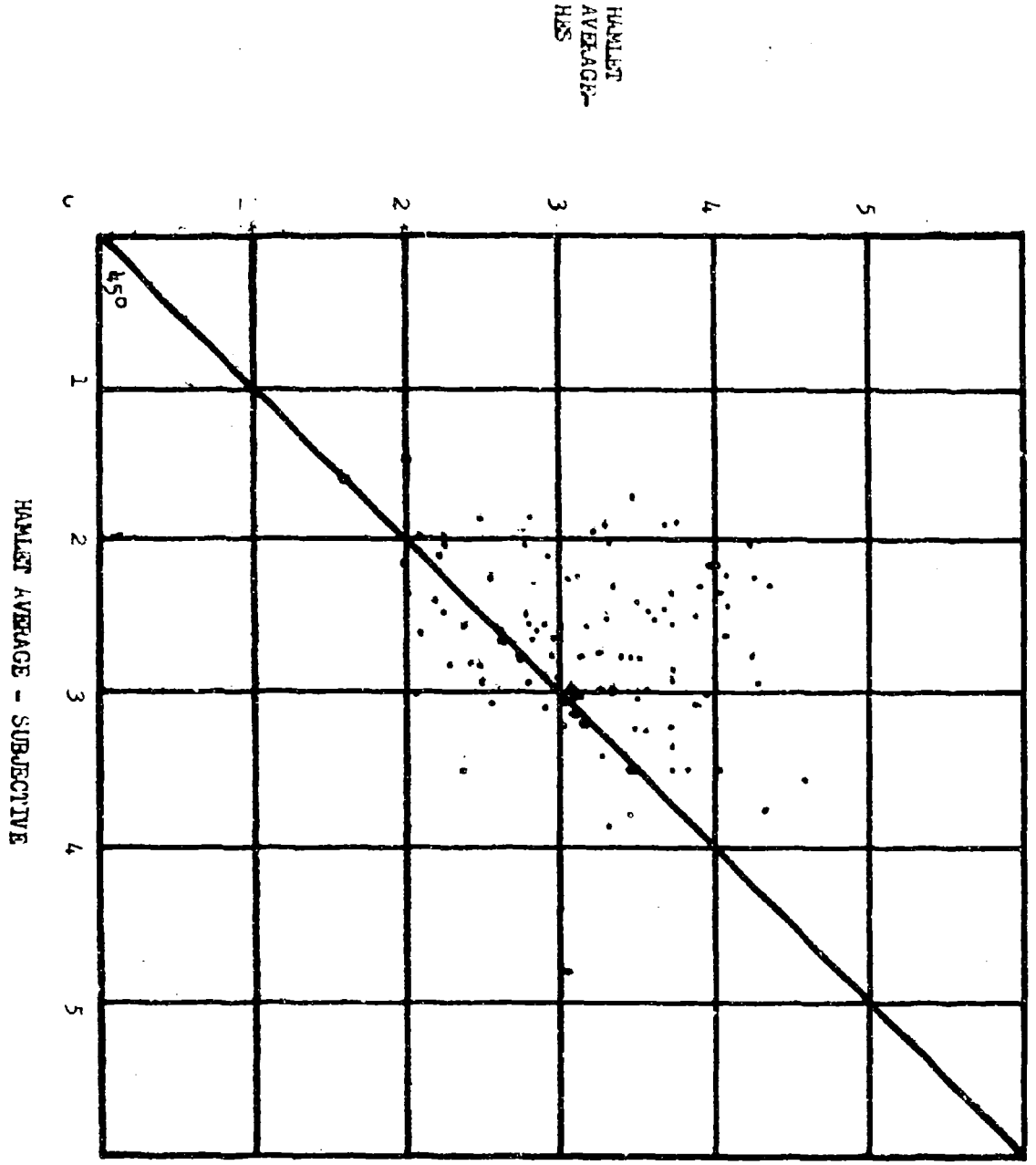
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SCATTER-DIAGRAM OF RELATIONSHIP BETWEEN ADVISOR'S HES RATINGS AND HAMLET CHIEF RATINGS (66 HAMLETS)



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SCATTER-DIAGRAM OF RELATIONSHIP BETWEEN ADVISORS' HES RATINGS AND ANALYSIS OF SUBJECTIVE RATINGS (106 HAMLETS)

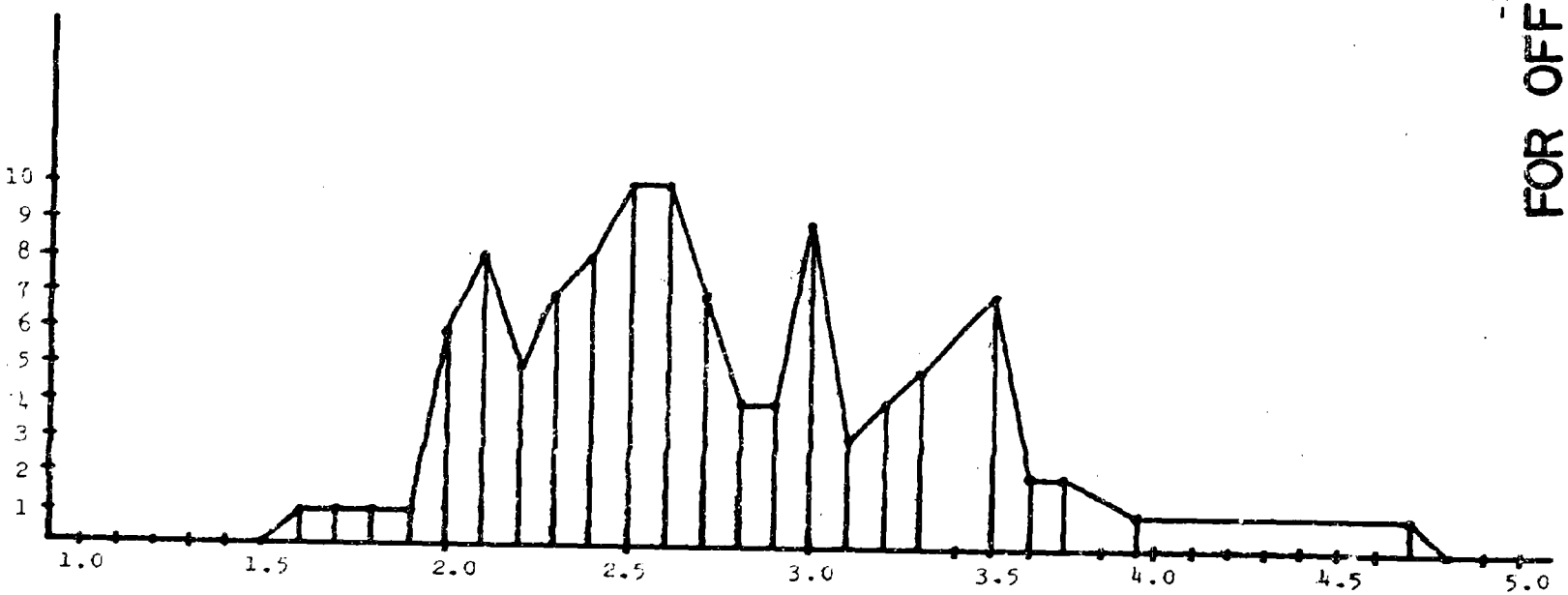
FREQUENCY DISTRIBUTION OF HAMLETS OVERALL RATINGS FOR HAMLET CITIZENS

	No.		No.		No.		No.
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1.1.	0	2.1.	8	3.1	3	4.1	0
1.2	0	2.2	5	3.2	4	4.2	0
1.3	0	2.3	7	3.3	5	4.3	0
1.4	0	2.4	8	3.4	0	4.4	0
1.5	0	2.5	10	3.5	7	4.5	0
1.6	1	2.6	10	3.6	2	4.6	0
1.7	1	2.7	7	3.7	2	4.7	1
1.8	1	2.8	4	3.8	0	4.8	0
1.9	1	2.9	4	3.9	1	4.9	0
						5.0	0

No. of hamlets: 106

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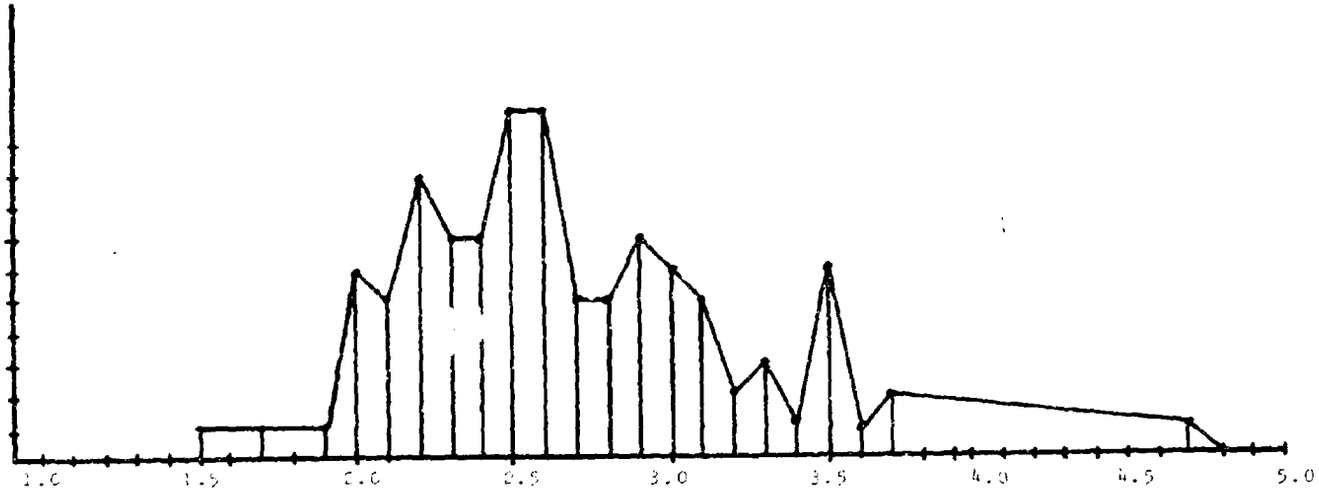
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FREQUENCY DISTRIBUTION OF HAMLETS OVERALL RATINGS FOR HAMLET CITIZENS

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1.5	1	2.5	12	3.5	6	4.5	0
1.6	0	2.6	11	3.6	0	4.6	0
1.7	1	2.7	9	3.7	1	4.7	1
1.8	0	2.8	9	3.8	2	4.8	0
1.9	1	2.9	7	3.9	0	4.9	0
						5.0	0

No. of Families: 166



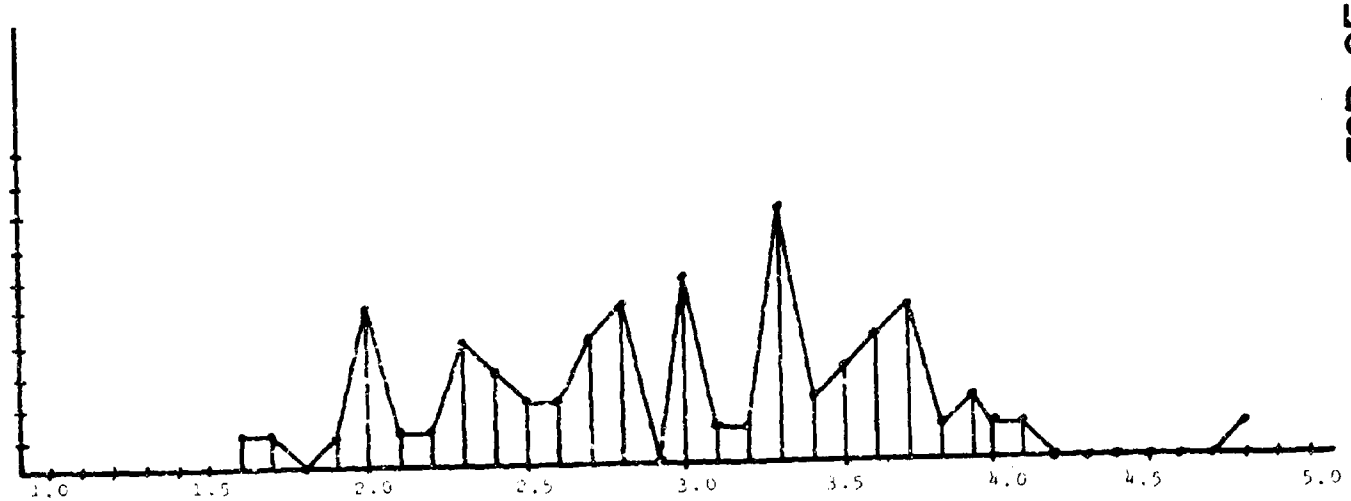
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FREQUENCY DISTRIBUTION OF HAMLETS - OVERALL RATINGS FOR HAMLET CHIEFS

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1.4	0	2.4	3	3.4	2	4.4	0
1.5	0	2.5	2	3.5	3	4.5	0
1.6	1	2.6	2	3.6	4	4.6	0
1.7	1	2.7	4	3.7	5	4.7	0
1.8	0	2.8	5	3.8	1	4.8	1
1.9	1	2.9	0	3.9	2	4.9	0
						5.0	0

No. of hamlet: 66
(includes 2[C])



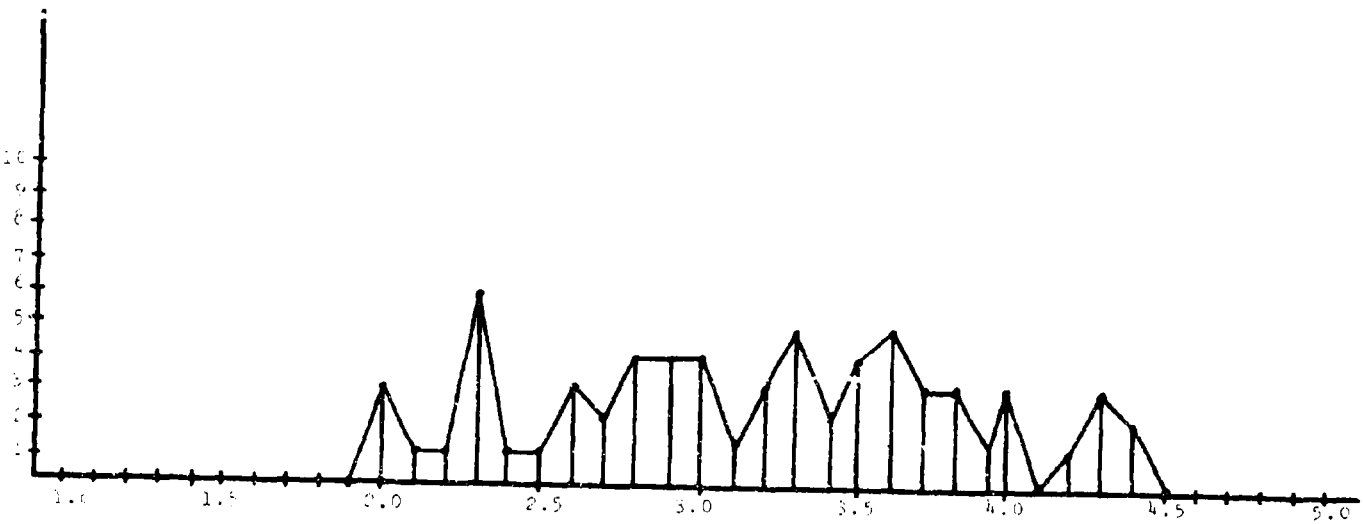
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FREQUENCY DISTRIBUTION OF HAMLET OVERALL RATINGS FOR PES

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1.4	0	2.4	1	3.4	2	4.4	2
1.5	0	2.5	1	3.5	4	4.5	0
1.6	0	2.6	3	3.6	5	4.6	0
1.7	0	2.7	2	3.7	3	4.7	0
1.8	0	2.8	4	3.8	3	4.8	0
1.9	0	2.9	4	3.9	1	4.9	0
						5.0	0

No. of Hamlets: 66
(includes P^C)



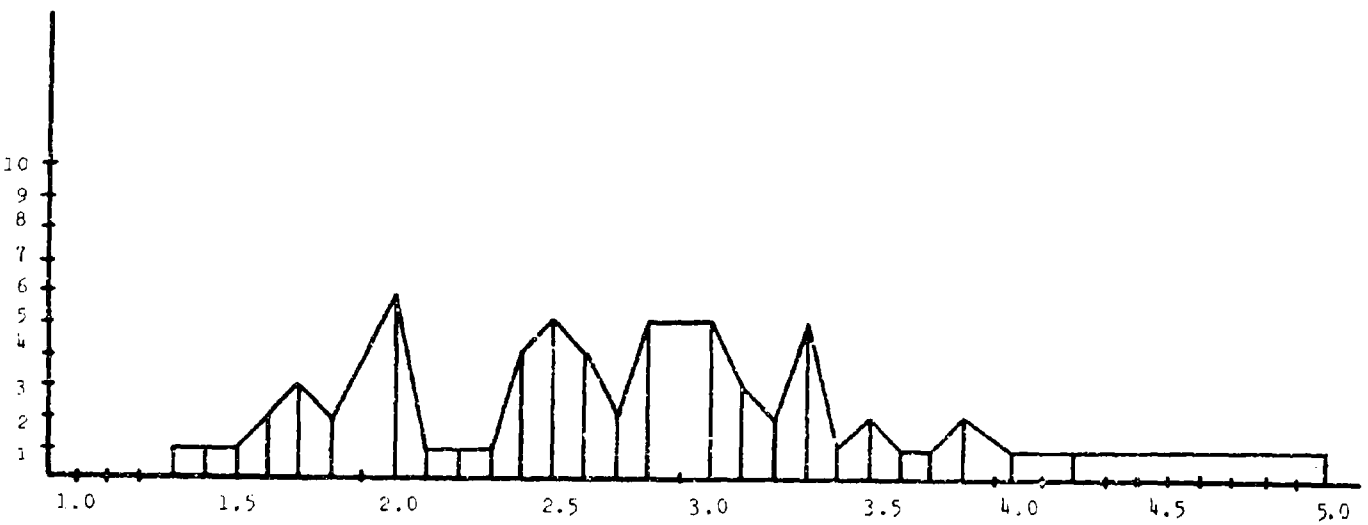
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FREQUENCY DISTRIBUTION OF HAMLETS ON DEVELOPMENT ACROSS FOR HAMLET CHIEFS

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1.5	1	2.5	5	3.5	2	4.5	0
1.6	2	2.6	4	3.6	1	4.6	0
1.7	4	2.7	2	3.7	1	4.7	0
1.8	3	2.8	5	3.8	2	4.8	0
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						5.0	1

No. of hamlets: 66



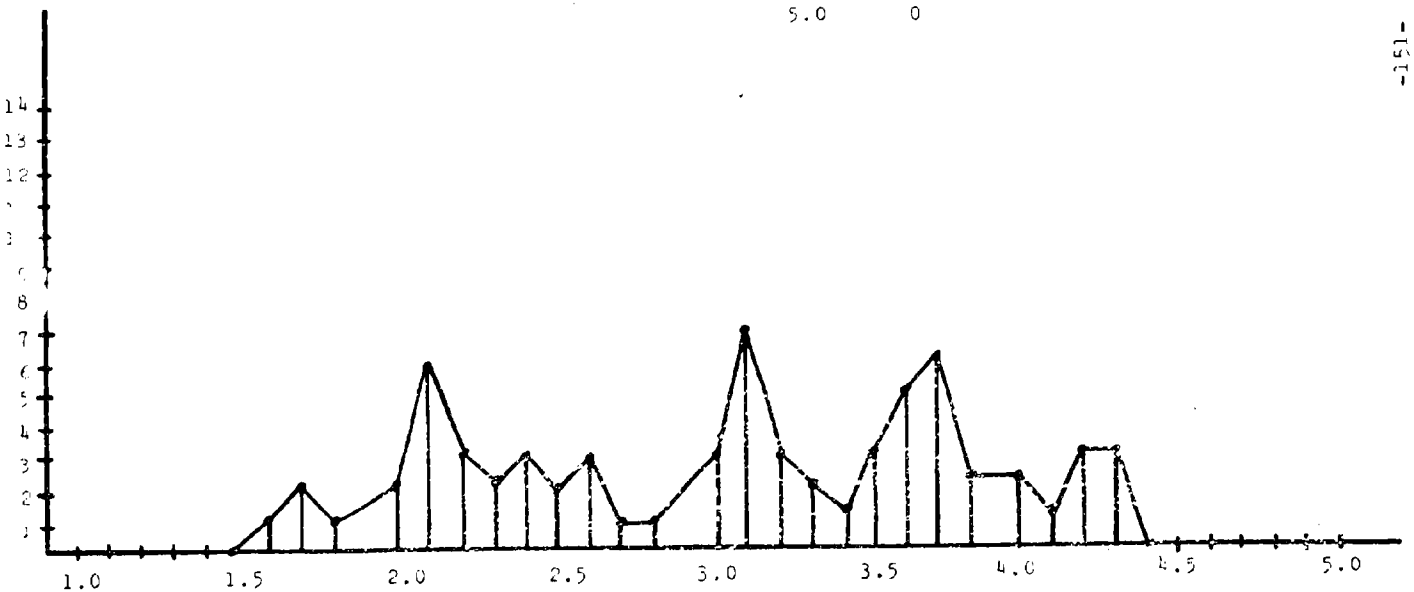
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FREQUENCY DISTRIBUTION OF HAMLETS ON DIVELOPMENT FACTORS FOR HES

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1.7	2	2.7	1	3.7	6	4.7	0
1.8	1	2.8	1	3.8	2	4.8	0
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No. of hamlets: 66



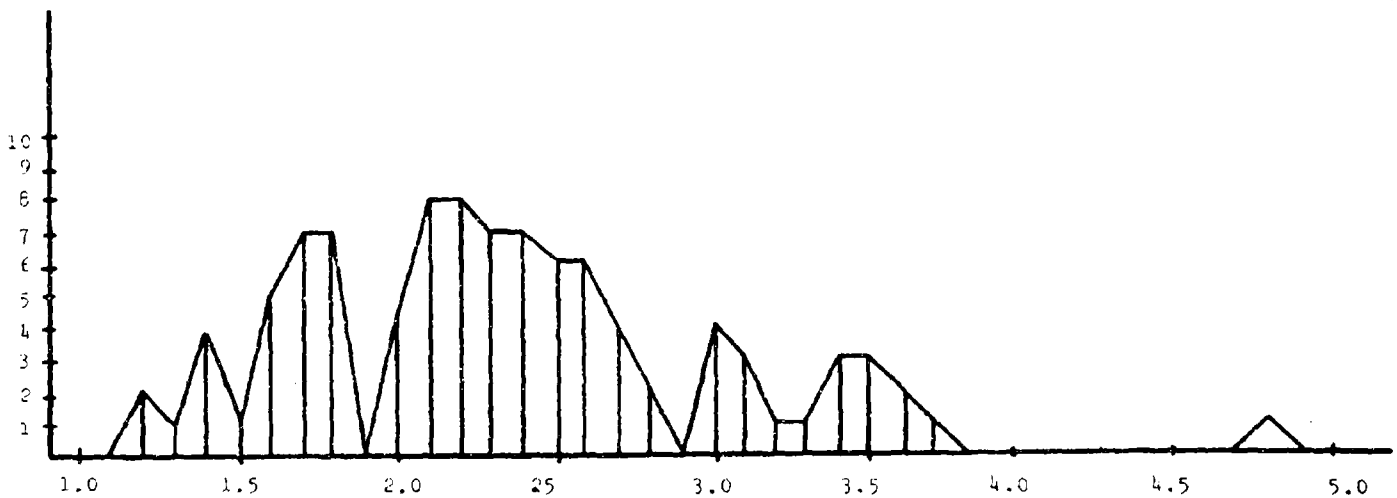
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1.5	1	2.5	6	3.5	3	4.5	0
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1.8	9	2.8	2	3.8	0	4.8	1
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No. of hamlets: 106



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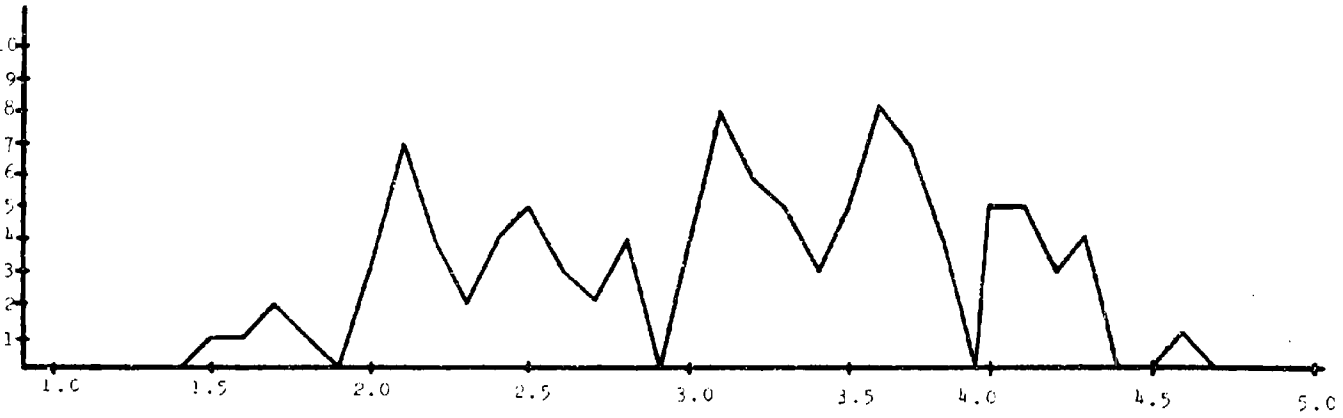
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FREQUENCY DISTRIBUTION OF HAMLETS ON DEVELOPMENT FACTORS FOR FES

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1.5	1	2.5	5	3.5	5	4.5	0
1.6	1	2.6	3	3.6	8	4.6	1
1.7	2	2.7	2	3.7	7	4.7	0
1.8	1	2.8	4	3.8	4	4.8	0
1.9	0	2.9	0	3.9	0	4.9	0
						5.0	0

No. of Hamlets: 106

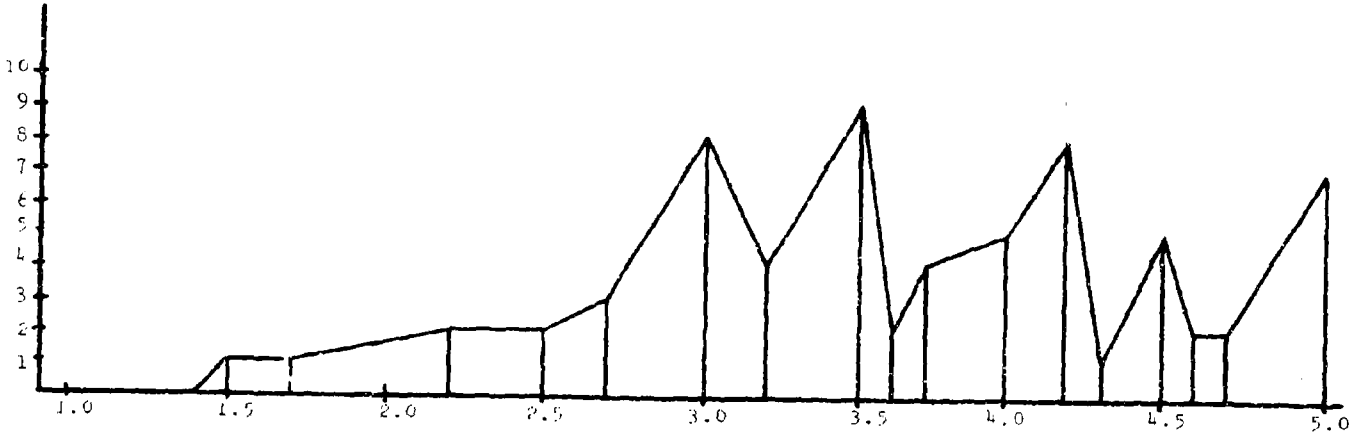
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FREQUENCY DISTRIBUTION OF PAMLETS ON SECURITY FOR HAMLET CHIEF

	No.		No.		No.		No.	
1.0	0	2.0	0	3.0	8	4.0	5	
1.1	0	2.1	0	3.1	0	4.1	0	No. of hamlets: 66
1.2	0	2.2	2	3.2	4	4.2	8	(includes 2[C])
1.3	0	2.3	0	3.3	0	4.3	1	
1.4	0	2.4	0	3.4	0	4.4	0	
1.5	1	2.5	2	3.5	9	4.5	5	
1.6	0	2.6	0	3.6	2	4.6	2	
1.7	1	2.7	3	3.7	4	4.7	2	
1.8	0	2.8	0	3.8	0	4.8	0	
1.9	0	2.9	0	3.9	0	4.9	0	
						5.0	7	



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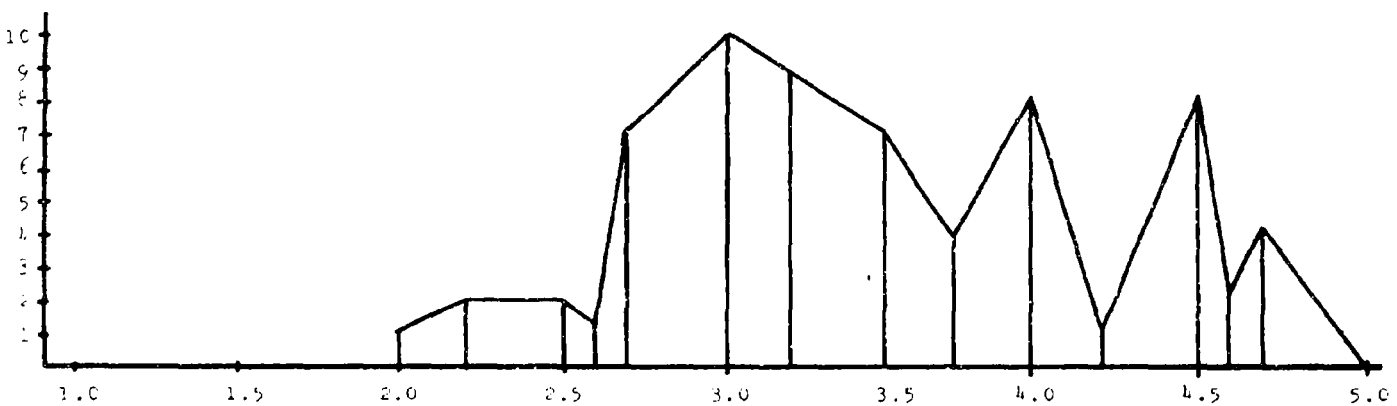
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	No.		No.		No.		No.
1.0	0	2.0	1	3.0	10	4.0	8
1.1	0	2.1	0	3.1	0	4.1	0
1.2	0	2.2	2	3.2	9	4.2	1
1.3	0	2.3	0	3.3	0	4.3	0
1.4	0	2.4	0	3.4	0	4.4	0
1.5	0	2.5	2	3.5	7	4.5	8
1.6	0	2.6	1	3.6	0	4.6	2
1.7	0	2.7	7	3.7	4	4.7	4
1.8	0	2.8	0	3.8	0	4.8	0
1.9	0	2.9	0	3.9	0	4.9	0
						5.0	0

No. of hamlets: 66
(includes 2^c)

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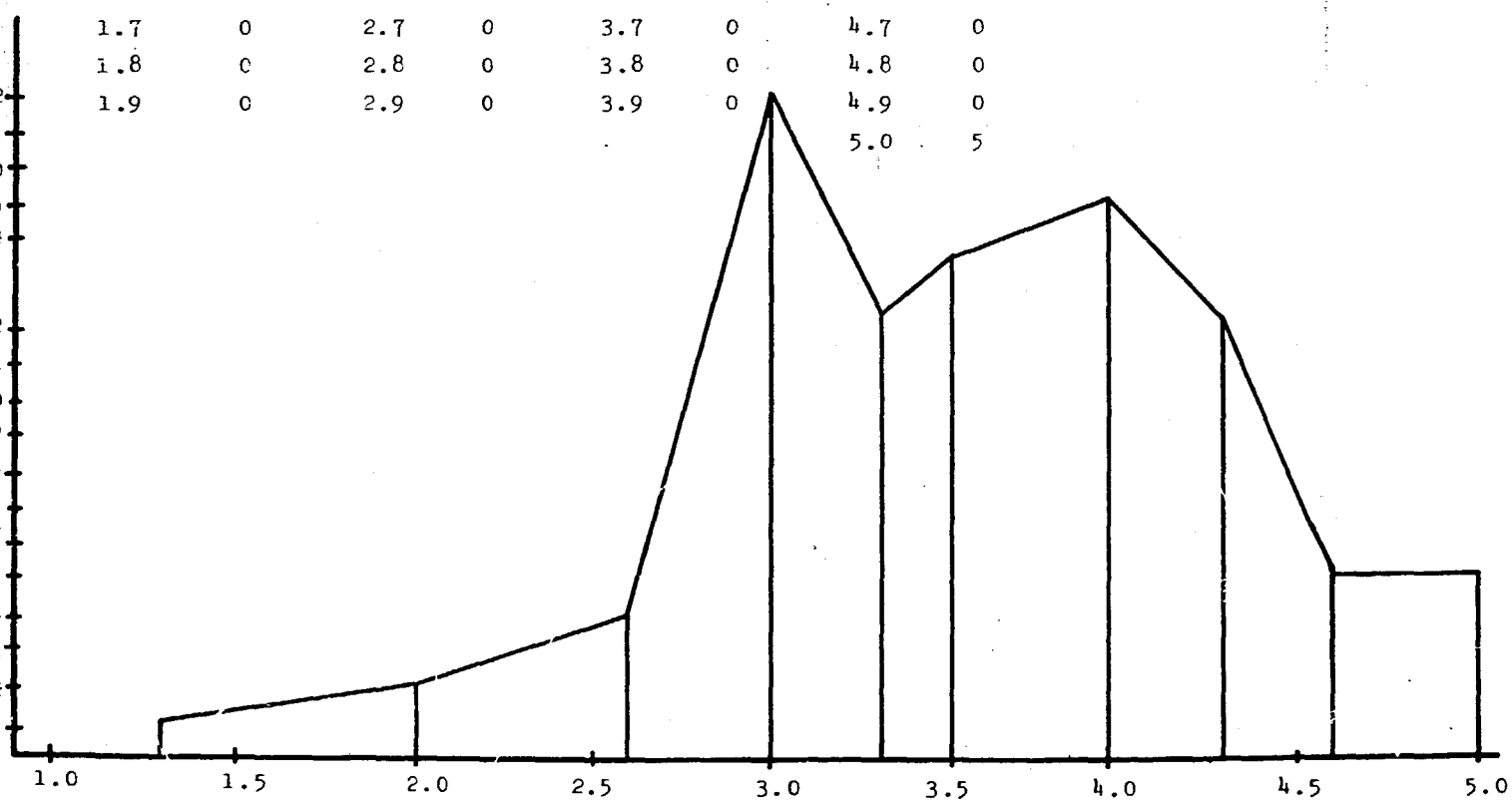
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	No.		No.		No.		No.
1.0	0	2.0	2	3.0	22	4.0	19
1.1	0	2.1	0	3.1	0	4.1	0
1.2	0	2.2	0	3.2	0	4.2	0
1.3	1	2.3	3	3.3	14	4.3	14
1.4	0	2.4	0	3.4	0	4.4	0
1.5	0	2.5	0	3.5	17	4.5	0
1.6	0	2.6	4	3.6	0	4.6	5
1.7	0	2.7	0	3.7	0	4.7	0
1.8	0	2.8	0	3.8	0	4.8	0
1.9	0	2.9	0	3.9	0	4.9	0
						5.0	5

No. of Hamlets: 106



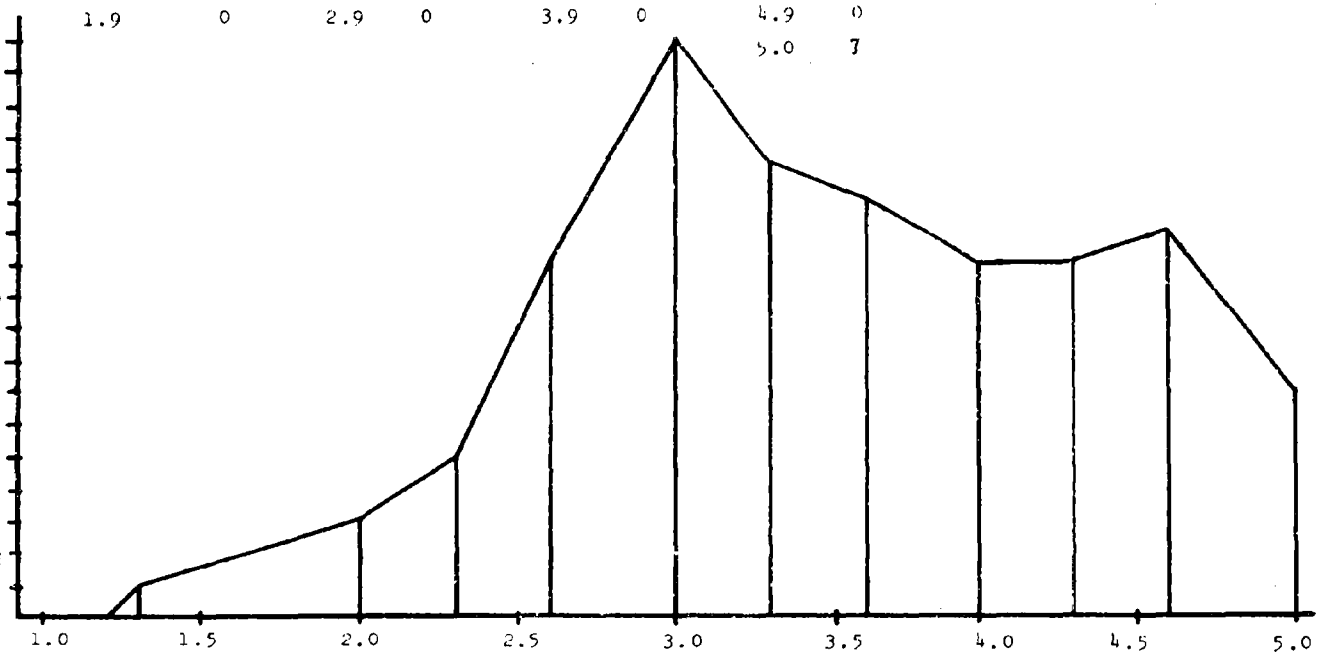
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FREQUENCY DISTRIBUTION OF HAMLETS ON SECURITY FACTORS FOR HES

	No.		No.		No.		No.
1.0	0	2.0	3	3.0	18	4.0	11
1.1	0	2.1	0	3.1	0	4.1	0
1.2	0	2.2	0	3.2	0	4.2	0
1.3	1	2.3	5	3.3	14	4.3	11
1.4	0	2.4	0	3.4	0	4.4	0
1.5	0	2.5	0	3.5	0	4.5	0
1.6	0	2.6	11	3.6	13	4.6	12
1.7	0	2.7	0	3.7	0	4.7	0
1.8	0	2.8	0	3.8	0	4.8	0
1.9	0	2.9	0	3.9	0	4.9	0
						5.0	7

No. of hamlets: 106



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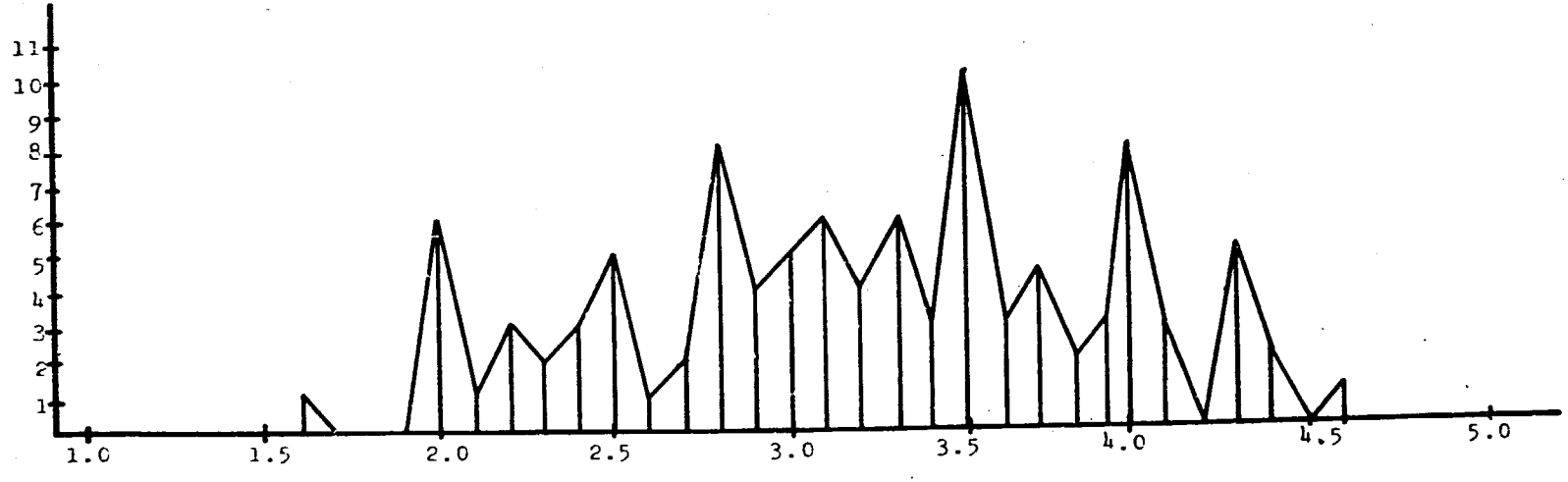
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	No.		No.		No.		No.
1.0	0	2.0	6	3.0	5	4.0	8
1.1	0	2.1	1	3.1	6	4.1	3
1.2	0	2.2	3	3.2	4	4.2	0
1.3	0	2.3	2	3.3	6	4.3	5
1.4	0	2.4	3	3.4	3	4.4	2
1.5	0	2.5	5	3.5	0	4.5	0
1.6	1	2.6	1	3.6	3	4.6	1
1.7	0	2.7	2	3.7	9	4.7	0
1.8	0	2.8	8	3.8	2	4.8	0
1.9	0	2.9	4	3.9	3	4.9	0
						5.0	0

No. of hamlets: 106

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	Army Concept Team in Vietnam APO San Francisco 96384

13. ABSTRACT

The overall purpose of this study, conducted in the Republic of Vietnam, was to assess the trustworthiness of the inputs that go into the Hamlet Evaluation System (HES).

The results of this study indicate that the Hamlet Evaluation System, as a total system, is basically sound as a reporting device for the entire country and for political divisions down to the district level, and should be continued. A distinction is made, however, between security and development factors. It is the conclusion of this study that the HES is a reasonably reliable method of estimating security trends. The interjudge reliability of the development factors is less clear. (FOUO)

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Unclassified

Security Classification

14. KEY WORDS	LINK A		LINK B		LINK C	
	ROLE	WT	ROLE	WT	ROLE	WT
Republic of Vietnam						
Hamlet Evaluation System						
Pacification						
Development of Hamlets						
Security of Hamlets						
District advisor						
Province advisor						
Reliability of Hamlet Information						

SUPPLEMENTARY

INFORMATION

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