

ON SYSTEM AS 518009600/1001
 PPC/TA/TAPD A 400-10

AID PROJECT NUMBER: PROJECT APPRAISAL REPORT (PAR) (U-446) See M.O. 1026.1
 SECURITY CLASSIFICATION: UNCLASSIFIED
 001 PROJECT NUMBER: 518-15-899-092

002 PAR NO. 054059 DAY 05 YR. 68
 003 U.S. OBLIGATION SPAN: FY 68 Thru FY 71
 004 PROJECT TITLE: Local Planning and Development (After 6/30/69 a subproject under Civic Development, 518-15-899-096)

006 FUNDING TABLE

005 DOLLAR FINANCING OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
70	219		74		128			3			44

(Includes subprojects in Leadership Training, Youth Affairs and Urban Dev.)
 Operational Year Program : -0-

007 IMPLEMENTING AGENCY TABLE

Enter the name and contract or PASA number of each in appropriate spaces below; for voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate description in columns b and c, using the coding guide provided below.

1. AGENCY TYPE	2. TYPE CODE	3. IMPLEMENTING AGENCY	4. TYPE CODE		5. CONTRACT/PASA/VOLAG NO.	6. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. NON-PROFIT INSTITUTION		N/A			N/A	
2. UNIVERSITY						
3. GOVERNMENT						
4. VOLUNTARY						

PART I - PROJECT IMPACT

GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.

The history of the project should begin with a brief (one or two paragraph) statement of the principal events in the history of the project. This should be followed by a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- 1. overall effectiveness and effectiveness of project implementation in achieving stated project targets;
- 2. contribution to achievement of sector and goal plans;
- 3. cost effectiveness (i.e., efficiency in resource utilization);
- 4. the project's relative importance and significance of the project to country development and/or the furtherance of U.S. objectives.

The narrative should also include, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can be completed after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced assessment of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the past has been significantly changed, or if the project is too new to have achieved significant results, this Part should so indicate.

GENERAL NARRATIVE TO BE PART I-A (Continue on form AID 1020-25 I as necessary):

The Civic Development program has come about as the result of a relatively intensive involvement in local development in Ecuador. With the experience gained through such projects as Town Plan (terminated in FY 67) it became evident that a project orientation made little sense in improving the capacity of communities to deal with their own problems.

Signed: *A. D. Jordan* Date: *Sept 10, 1969*

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More effective approaches were being sought when in FY 67 Peace Corps/E requested USAID/E financial support to develop a nondirective training program for campesinos, utilizing four experienced Peace Corps volunteers as trainers. Their concern was to see campesinos develop a capacity to resolve their own problems, setting priorities and attempting to develop needed technical and financial resources. Since the initial project (SDAA 67.4.14, April 1967), USAID/E has become an active participant, providing needed resources and trained staff. 1/ Approximately 1,228 individuals representing over thirty communities and twelve development institutions from throughout the country have participated in the training program.

In March of 1969 Stanford Research Institute was contracted by AID/W to study the Title IX implications of USAID/E's programs; Civic Development was one of the three programs selected. The materials developed in this study will be most helpful in judging the overall effectiveness of the program. It will also be a useful guide for future planning, implementing and evaluating of program activities.

1/ See Civic Development PROF for training program details.

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PART I-B - PROJECT EFFECTIVENESS

009

I-B-1 - OUTPUT REPORT AND FORECAST - (See detailed instructions)

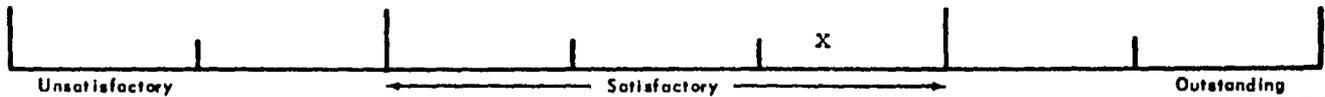
1. CODE NO. AID/W USE ONLY	2. This section is designed to record progress toward the achievement of each project output target which was scheduled in the PIP, Part II. Where progress toward a target is significantly greater or less than scheduled, describe reason(s) beneath the target.	ACTUAL AND PLANNED OUTPUTS (ALL DATA CUMULATIVE)				6. PROJECT TOTAL FOR PROJEC- LIFE
		3 ACTUAL CUM. TO DATE 6/30/69	4. AS OF PRIOR JUNE 30 1968		5. PLANNED BY NEXT JUNE 30	
			a. PLANNED	b. ACTUAL		
	i - Training courses	42	<u>1/</u>	12	75	not kg
	ii - Number of participants	1,228	<u>1/</u>	325	1,228	"
	iii - Number of communities involved	30	<u>1/</u>	10	32	"
	iv - Number of institutions involved	12	<u>1/</u>	2	18	"
	v - USAID/E in-service training	2	<u>1/</u>	0	14	"
	<u>1/</u> Given experimental nature of program no projections were made.					

PART I-B - Continued

010

B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets:



PART I-C - PROJECT SIGNIFICANCE

011

C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

a. CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
	b. SECTOR AND PROGRAM GOALS (LIST ONLY THOSE ON WHICH THE PROJECT HAS A SIGNIFICANT EFFECT)		
(1)	Increasing quality and quantity of local participation in national development.	3	3
(2)	Redistribution of national income.	2	2
(3)	Encouraging economic development.	2	2
(4)			

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

Difficulties are contemplated as to how the training functions (described in the Civic Development PROP) can best be institutionalized in Ecuador. How might a self-financing training entity (or training entities) be created, how then can the training activities be made part of the ongoing programs of national, regional and local development agencies?

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PART I-C - Continued

C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.	MARK IN THIS COL.
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	Y
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	N
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	N
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	N
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	Y
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	Y
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	Y
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	N
021 NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):	

013 - For the first time the training program has encountered university student resistance. In a course programmed for Guaranda, Civic Development staff experienced problems when trying to work with FEUE (National Student Federation) representatives. There appears to be an increasing interest on the part of FEUE to develop programs in rural Ecuador. They have a distinct dislike for working with any development agency, especially those supported by the U.S. Government. It is hoped that the Youth Affairs project will be able to establish a meaningful dialogue with this group and reduce potential friction between development efforts.

017 - After initial experience, it is believed that the motivational approach has universal applicability in the generation and formation of development activities, (See Stanford Research Institute Report on Title IX in Ecuador).

018 - There is the need to learn more about behavioral attitudes and their relation to development potentials in less developed countries.

019 - Peace Corps volunteers in Ecuador have made several movies of the training program. It is understood that if these should be used in the United States a great deal of discretion would have to be exercised in carrying out a mass media program.

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PART II - IMPLEMENTATION REPORT

II-A - STATUS OF SCHEDULE

022 A-1 - INDIVIDUAL ACTIONS (See detailed instructions M.O. 1026.1). This is a listing of major actions or steps which were scheduled for physical start or continuing implementation in the reporting period as reflected in the Project implementation Plan, Part I.

(a)		(b) STATUS - PLACE AN "X" IN, ONE COLUMN		
PIP ITEM NO.	MAJOR ACTIONS OR STEPS; CAUSES AND RESULTS OF DELAYS; REMEDIAL STEPS	(1) BEHIND SCHEDULE	(2) ON SCHEDULE	(3) AHEAD OF SCHEDULE
	<p>i - Completing training projects - schedule developed each quarter.</p> <p>ii - Continuing follow-up on those who have participated in training programs. (Reason: lack of staff and GOE involvement).</p> <p>iii - Studying new areas for future involvement. (Reason: need for more time to develop strategy).</p> <p>iv - Developing new methods/techniques related to training effort. (Reason: need to train staff on new training methods. AID currently sending staff to various L.A. and U.S.A. programs.)</p>	<p>x</p> <p>x</p> <p>x</p>	<p>x</p>	

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PART II - Continued

023

II-A.2 - OVERALL TIMELINESS

In general, project implementation is (place an "X" in one block):

<p>BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.</p>	(a) On schedule	X
	(b) Ahead of schedule	
	(c) Behind schedule	
	(1) AID/W Program Approval	
	(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	
	(3) Technicians	
	(4) Participants	
	(5) Commodities (non-FFF)	
	(6) Cooperating Country	
(7) Commodities (FFF)		
(8) Other (specify):		

II-B - RESOURCE INPUTS

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)

024 IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:	X	032 Quality, comprehensiveness and candor of required reports
025 Adequacy of technical knowledge		033 Promptness of required reports
026 Understanding of project purposes		034 Adherence to work schedule
027 Project planning and management		035 Working relations with Americans
028 Ability to adapt technical knowledge to local situation		036 Working relations with cooperating country nationals
029 Effective use of participant training element		037 Adaptation to local working and living environment
030 Ability to train and utilize local staff		038 Home office backstopping and substantive interest
031 Adherence to AID administrative and other requirements		039 Timely recruiting of qualified technicians
		040 Other (describe):

2. FACTORS-PARTICIPANT TRAINING

041 IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:	X	TRAINING UTILIZATION AND FOLLOW UP
PREDEPARTURE		052 Appropriateness of original selection
042 English language ability		053 Relevance of training for present project purposes
043 Availability of host country funding		054 Appropriateness of post-training placement
044 Host country operational considerations (e.g., selection procedures)		055 Utility of training regardless of changes in project
045 Technical/professional qualifications		056 Ability to get meritorious ideas accepted by supervisors
046 Quality of technical orientation		057 Adequacy of performance
047 Quality of general orientation		058 Continuance on project
048 Participants' collaboration in planning content of program		059 Availability of necessary facilities and equipment
049 Collaboration by participants' supervisors in planning training		060 Mission or contractor follow-up activity
050 Participants' availability for training		061 Other (describe):
051 Other (describe):		

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PART II-B - Continued

3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	X	064 NO COMMODITY ELEMENT		072 Control measures against damage and deterioration in shipment.	P
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					N	073 Control measures against deterioration in storage.	P
066 Quality of commodities, adherence to specifications, marking.					P	074 Readiness and availability of facilities.	NA
067 Timeliness in procurement or reconditioning.					N	075 Appropriateness of use of commodities.	P
068 Timeliness of shipment to port of entry.					P	076 Maintenance and spares support.	P
069 Adequacy of port and inland storage facilities.					P	077 Adequacy of property records, accounting and controls.	N
070 Timeliness of shipment from port to site.					P	078 Other (Describe):	
071 Control measures against loss and theft.					P		

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

- a. Overall Implementation Performance. USAID/E has recently reorganized to strengthen Title IX efforts. This, coupled with an on-going training effort with the CD staff, is providing the needed environment to encourage a dedicated implementation of the program.
- b. Implementing Agencies: On page three of this PAR institutionalization was identified as a long-range problem. However, this program has been receiving increasing support from not only the public sector but the private sector as well. Given the current public financial situation, GOB support has been limited to travel and per diem costs. This will continue to impede the development of the training program, especially as the numbers increase of those who want to participate.
- c. Participants: To date Civic Development has used neither third country nor US training programs. It is anticipated that in FY 70 limited participant programs will be used.
- d. Commodities: Though the program has utilized very little in the way of U.S. purchases, several problems have been encountered: (1) misorders; (2) tardy AID/W approval; (3) length of time involved in commodity arrival.

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PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:	
080 Coordination and cooperation within and between ministries.	N
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	P
082 Availability of reliable data for project planning, control and evaluation.	N
083 Competence and/or continuity in executive leadership of project.	P
084 Host country project funding.	P
085 Legislative changes relevant to project purposes.	NA
086 Existence and adequacy of a project-related LDC organization.	N
087 Resolution of procedural and bureaucratic problems.	NA
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	P
089 Maintenance of facilities and equipment.	P
090 Resolution of tribal, class or caste problems.	P
091 Receptivity to change and innovation.	P
092 Political conditions specific to project.	P
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	P
094 Intent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	N
095 Intent of LDC efforts to widen the dissemination of project benefits and services.	NA
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	NA
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	P
098 Other:	
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:	
099 Level of technical education and/or technical experience.	N
100 Planning and management skills.	P
101 Amount of technician man years available.	N
102 Continuity of staff.	NA
103 Willingness to work in rural areas.	P
104 Pay and allowances.	N
105 Other:	

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked [] include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

As mentioned previously, host country participation continues to grow with the development of the motivational training program. Though the problems of institutionalization have been identified, it will be necessary in FY 70 to determine ways and means to increase GOE support and participation. It appears that the GOE supports the objectives of this program, especially as they relate to increasing mass participation in the social, economic and political life of the country.

As an outside development institution, USAID must concern itself with the potential problems of working with attitudes and behavioral patterns. Extreme care must be exercised to prevent the alienation of the GOE. This program has been designed and implemented by Ecuadrians. This involvement is crucial for developing the needed cadre and eventually phasing out the U.S. Government's assistance.

Cont'd.

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Specifics:

- 080 - This problem has been discussed extensively in the CASP.
- 082 - Though this program has been developed on a pragmatic basis, it is increasingly evident that new methods must be developed to gather and collect data related to project programming and evaluation. Plans are under way to assist in this effort.
- 086 - This aspect of the program has been discussed under the heading of institutionalization.
- 099 - As this activity is in a new area of development, Ecuador has few qualified technicians to develop the program. As a result, USAID/E has begun an in-country training program for GOE and private entities. In FY 70 a limited number of participants will be sent to third countries and the U.S. for advanced training.
- 204 - Pay and allowances in the public sector are very low. As a result, the brighter professionals are drawn into the private sector. This is not a totally accurate picture, for it is possible to find dedicated and motivated individuals who want to assist in the development of their country. The training effort is thus limited to those who care and are willing to change the system.

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PART IV - PROGRAMMING IMPLICATIONS

IV-A - EFFECT ON PURPOSE AND DESIGN

Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change.

For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

As this program is relatively new, it has been difficult to collect relevant data on which to guide the future development of the national training program. As mentioned, the need for greater in-depth analysis and related data collection is imperative for the future selection of target groups and geographic areas of involvement.

IV-B - PROPOSED ACTION

108 This project should be (Place an "X" in appropriate block(s)):

1. Continued as presently scheduled in PIP.	
2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).	
3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow.	
4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.	
5. Substantively revised. PROP will follow.	
6. Evaluated in depth to determine its effectiveness, future scope, and duration.	
7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___. Explain in narrative.	
8. Other. Explain in narrative.	

109 NARRATIVE FOR PART IV-B:

The original PROP for this training program has been recently submitted to AID/W; a PIP is scheduled to be prepared in the near future.

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