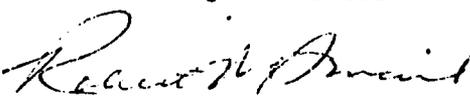
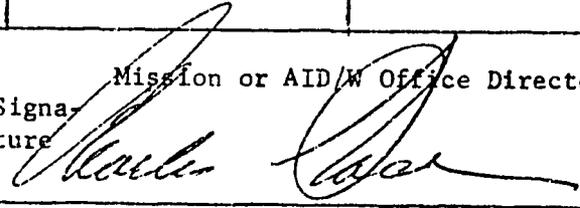


4930274(3)
PD-AAO-721-A1

PROJECT EVALUATION SUMMARY
(Submit to MO/PAV after each project evaluation)

1. Mission or AID/W Office Name USAID/Thailand		2. Project Number 493-0274 17p	
3. Project Title Transfer of Technology and Management Skills			
4. Key project dates (fiscal years) a. Project Agreement Signed 11/75		5. Total U.S. Funding - life of project \$4,000,000	
b. Final Obligation 11/78		c. Final input delivered FY 1980	
6. Evaluation number as listed in Eval. Schedule 2	7. Period covered by this evaluation From: 11/76 TO: 4/78 Month/year Month/year		8. Date of this Evaluation Review 4 78 Month/Day/Year
9. Action Decisions Reached at Evaluation Review, including items needing further study		10. Officer Or Unit responsible for follow-up	11. Date action to be completed
(a) Revise Agreement to give DTEC more flexibility in allocation of TTMS funds among appropriation categories and from: 1. Advisory Services to Training. 2. Academic Training to Short-term Training.		USAID/DTEC	For consideration
(b) Continued efforts should be made to discourage instances of repetitive training abroad in cases where equally qualified individuals are available who have never trained abroad previously.		DTEC	For consideration
(c) USAID to continue to provide advice to DTEC on the best methods and procedures for consultant recruitment and allocation of training.		USAID/DTEC	Continuing
12. Signatures:			
Project Officer		Mission or AID/W Office Director	
Signature		Signature	
Typed Name	Robert W. Smail	Typed Name	Charles L. Gladson
Date		Date	

Clearances: DTEC:Kriengkrai Issara-yangyun: Kriengkrai Issara-yangyun date: Jan 21, 1979
DTEC:Pichet Sunthornpitt: Pichet Sunthornpitt date: Jan 21, 1978

Action Decisions	Office Responsible	Date Action to be Completed
(d) Consider proposal to permit dollar-funded local currency expenditures for in-country training to be carried out by Thai institutions. (See #23 - Special Comments).	USAID/DTEC	For consideration
(e) Amend Butler contract to delete training requirement.	DTEC/USAID	July 1978
(f) Revise Logical Framework. (See Annex B).	USAID/DTEC	Pending approval
(g) Revise CPI Network Chart.	DTEC	Pending approval

13. Summary

Following a slow start, project implementation activities have picked up. The training programs and the advisory slots thus far approved and implemented largely fall within the priority areas of the Fourth Five Year Plan. The impact of the Rural Development Seminar conducted earlier in 1977 has influenced various planning agencies who attended the seminar to realize the importance of properly designing sound projects.

Closer collaboration among different planning agencies is still required. DTEC, responsible for both the approval and implementation of training and advisory services, moved too cautiously in the start but has speeded the processes as it gained familiarity with them. There are no insurmountable problems at this date. The evaluation team believes that the prospects for the achievement of project purpose are favorable.

14. Evaluation Methodology

- a. Panel Discussion: Evaluation Team members held a meeting with key DTEC officials to review progress with regard to the recommendations of the last evaluation. Findings from this discussion are shown in Annex A.

The following persons attended the panel discussion from DTEC.

Mr. Kittiphan Kanjanapipatkul
Chief, AID-Program, DTEC

Mrs. Bumrung Burusrattanapanth
Chief, Project Finance Division, DTEC

Miss Tipsuda Supachoke-Uaychai
Chief, Training Section, DTEC

Mr. Achari Yuktanandana
Division of External Cooperation Office,
DTEC

- b. Interview With Returned Participants: A meeting was conducted at the DTEC conference room with 12 returned trainees from each field of training to discuss problems and recommendations with regard to TTMS training activities.

- c. Interviews With U.S. Consultants and RTG Counterparts: The evaluation team visited TTMS U.S. consultant offices to discuss job performance and future needs with consultant counterparts. Persons interviewed were:

Dr. Harvey F. Ludwig, Advisor to National Environment Board (NEB).

Dr. Pakit Kiravanich, Deputy Secretary-General, NEB.

Mr. Kamphon Klawtanong, Section Chief, NEB.

Mr. Earl M. Kulp, Advisor to Accelerated Rural Development Office (ARD).

Mr. Narong Phyunghong, Rural Development Technician, ARD.

Mr. Vanchai Homvisethvongsa, Rural Development Technician, ARD.

Dr. Suthiporn Chirapanda, Chief, Division of Research and Planning, MOAC.

Mr. Worwate Tamrongthayaluk, Head of Statistical Analyses and Land Registration Section, Division of Research and Planning, MOAC.

- d. Documentation Research:

1. A list of participants was reviewed and analyzed to find the ratio of:
 - (a) Participants from Bangkok vs. those from rural areas of Thailand.
 - (b) Participants who received training abroad more than once vs. those who had never been abroad.
2. Consultant contract terms of reference were reviewed and compared with actual performance.

15. Documents to be Revised

Logical Framework
Project Agreement
CPI Network
Consultant Contract (Butler)

16. External Factors

The major external factor which has effected the project is the process of recruiting consultants. Recruitment time and processes were not understood clearly. This, and the need to establish a system in DTEC for a task formerly undertaken by USAID, has led to long delays in disbursement of funds.

Another factor has been the apparent disproportion between the amount of training and advisory services originally planned. DTEC has requested that greater emphasis be given to training and that the RTG be permitted to be more flexible in the allocation of training between the three AID appropriation categories.

On the training side, the RTG is beginning to establish its own system of direct contact with neighboring countries.

Assumptions

The logical framework assumptions under the Outputs and Purpose section are inadequate to describe what are supposed to be external factors that can effect project performance but which are not under the control of the project itself. In the revised logical framework submitted with the evaluation, we have added certain assumptions we believe are more pertinent to the project.

17. Goal

The goal statement is: RTG allocation and utilization of resources in priority areas specified by the Fourth Five Year Plan.

The statement should be altered to begin "More efficient RTG allocation..." For the reasons stated in our positive judgment regarding achievement of the project purpose, we can also conclude that this project will contribute to achievement of the broader program goal.

TTMS is helping to construct an infrastructure of technical and managerial competence on which other RTG/AID projects (Sericulture Settlements, Agricultural Extension Outreach, Lam Nam Oon On-farm development, Population Planning, Rural Primary Health) are building.

18. Purpose

The purpose statement is: To improve Royal Thai Government capabilities in development policy and problem analysis, program planning and evaluation.

The indicators of project purpose achievement are such that clear progress can only be discerned over a time period that may exceed the end of the project itself. The positive effect of training in terms of applied expertise is claimed by trainees who have completed training. This is the only tangible evidence available at this time. Better defined, more specific plans of action, accelerated implementation of projects, etc. are indicators that can only be affirmed in combination with other elements of bureaucratic coordination and technical progress not directly related to TTMS.

With regard to advisory services, some analyses have been performed in priority areas - agriculture, environment - as a result of the transfer of technology from consultants to counterparts. Here, too, the real test will come when the consultants depart.

In sum, a judgment of purpose achievement in this type of project must be largely presumptive and circumstantial. With this caution, we can conclude that considerable progress is being made.

19. Outputs-Inputs

Inputs

By the end of April 1978, \$3.5 million of the total project funds available had been obligated. Disbursements, however, totaled US\$810,595 with another US\$620,000 expected to be disbursed soon. This is due to recruitment difficulties and the extended time necessary to disburse funds for ongoing training programs.

By the end of FY 1978, when more training funds will have been dispersed and consultant recruitment become more manageable, it will be possible to make a more definite judgment whether or not the amounts obligated are, given the special nature of this project, in excess of the RTG's ability to spend.

Outputs

(a) The outputs listed in the current logical framework are more accurately a restatement of the purpose of the project. Similarly, the objectively verifiable indicators of the outputs can be additional indicators for the achievement of the project purpose.

The outputs that are evaluated here are best stated as follows: (1) RTG personnel trained in priority areas defined in the Fourth Five Year Plan and (2) advisory services provided in priority areas of the FFYP. The original proposed magnitude of each of these outputs was 2,000 person/m of training and 400 person/m of advisory services respectively. As of March 1978 a total of 1,876 person/months of training had been completed or was in process; 43 person/months of advisory services had been completed or were in process.

(b) No interim annual output objectives are mentioned in the project design. It is difficult, therefore, to make a judgment about where project implementation should be at this point in time. It is clear, however, from the above figures, where the difficulties lie. More than halfway through the project, the life of project training objective is about to be attained. Advisory services, with 43 person/months achieved out of the proposed 400 are lagging behind by any measurement.

The reason for this lag can be seen in the nature of the project itself. In addition to actually transferring technology and management skills in priority areas of the Fourth Five Year Plan, the project paper states that the project "will strengthen the RTG's self-help capabilities by transferring to Thai officials a major portion of the planning, management and evaluation of the services provided under this project." The RTG has been asked to initiate contacts with sources of training and advisory services and then do the contracting itself using dollar funds in addition to local currency.

Training has moved along well because of the RTG agencies' awareness of training opportunities available both in the U.S. and the Third Countries and full cooperation provided by host country agencies in making timely arrangements for the training programs requested. The DTEC Training Section has done a remarkable job, with the assistance of the USAID's Assistant Project Officer, in carrying out the job previously handled by USAID. Consultant services, however, involve a process of recruitment that depends on factors such as financial and professional inducements and the willingness of current employers to make consultants available.

RTG has already implemented direct working relationships with Singapore, Malaysia, and Korea in the training area. Attempts have been made to deal directly with the Philippines and the RTG is awaiting the GOP's position on the signing of the Agreement. The RTG is contemplating the

same arrangements with Indonesia in the near future. The solution to the problem of RTG/DTEC direct recruitment of consultants is less clear. Even working through USAID, DTEC has encountered some very long delays in AID/Washington responses. Patience, therefore, seems appropriate as DTEC seeks the most effective means of consultant recruitment. One problem of independent RTG recruitment may be the necessity to pay fees for recruiters other than AID. Any future TTMS-type projects might consider this "fee" element, in dollars and baht, as a necessary RTG budget cost component of the project.

(c) Regarding the output requirement that training and advisory services be in priority areas of the FFYP, it seems to the evaluators that the all-encompassing nature of this designation makes it difficult to exclude any of the fields chosen for training and advisory services.

Training

Through review of training documents and interviews with 12 returned trainees, we have been able to identify certain strengths and weaknesses in the program. The training planned or in process does meet the criteria of the current project agreement. Our sampling of returned trainees indicates that they are generally satisfied with the training received and are putting it to use as intended on their jobs.

Efforts should continue to give priority in foreign training to those who have not been abroad for training previously.

Consultant Services

Interviews with counterparts indicate that consultants are providing useful assistance and are transferring their technology by training and example. In one case (Mr. Gordon Butler) specific training of counterparts is not being undertaken, although required by the contract. RTG officials explain that at the time the contract was written it was assumed that Mr. Butler would do the training. Subsequently, the RTG decided that IBM and the National Statistics Office were better equipped and readily available to carry on the necessary training. This de facto change in consultant contractual obligation should be formalized by an amendment to the contract.

Thai Government officials have urged flexibility in the designation of percentages of funds to be spent based on appropriation categories. For example, nutrition can reasonably be argued to be nearer to health considerations than those of food production. We believe this requested appropriation category latitude should be granted. The RTG pointed out that in the PPH field there are other donors such as WHO, UNICEF, UNFPA and IBRD, which preempt the need for additional AID inputs.

20. Unplanned Effects

The most important unplanned effect of this project has been to bring to the surface difficulties of organization for recruitment and training. This effect has been advantageous in that it can become a spur to increased efficiency which will hopefully lessen the likelihood of similar problems in the future.

21. Changes in Design or Execution

(a) The RTG requires flexibility in allocation of money between AID's functional categories. The RTG agrees that a large amount of assistance is available in the Health and Population category from other donor sources. Further, the RTG should be permitted to have a voice in the definition of categories, for example, whether nutrition should be combined with health or with food.

(b) The most difficult aspect of the project has been recruitment of consultants and allocation of training. AID should continue to assist the RTG in the processes of recruitment which will ultimately reduce reliance on AID.

22. Lessons Learned

1. The results of recommendations from the previous evaluation of this project are addressed in Annex A. Concerns nevertheless remain regarding the role USAID should play in influencing the areas in which training and consultant services are being undertaken by the RTG. The project agreement, in designating such all-inclusive categories of eligible activities, guarantees that any attempt by USAID

to exclude an area of training or advisory services can only lead to prolonged and legitimate argumentation on both sides.

AID's mandate emphasizes certain developmental sectors more than others. If USAID wishes to concentrate on these areas in a TTMS-type project, it must reach a mutual understanding during the project design stage and be explicit in the project agreement. If USAID is to have an advisory/approval role in selection of trainees and consultants, this too must be explicitly agreed upon and not left to post-ProAg interpretation.

2. In projects of this kind, involving a transfer of administrative responsibility from one bureaucracy to another, care should be taken that the necessary infrastructure is in place and able to function.

The foreseeable difficulties in this type of project should be reflected in modest initial project funding levels. This would provide sufficient incentive for performance without the negative effects of nervous reactions to obligation/disbursement rates.

23. Special Comments or Remarks

a. With regard to short course training, the TTMS agreement states that seminars can be conducted in-country, provided that instructors are recruited from among consulting firms in the U.S. It is recommended that this provision be revised in such a way that more training facilities from RTG educational institutions, such as NIDA, could be used. Training opportunity could then be extended to the lower level of local officials who have a limited knowledge of English.

b. To date, \$3.5 million of the original project total of \$4 million has been obligated. There is general agreement that obligation of the final \$500,000 will require an extension of the terminal date of the project to the end of FY 81.

Previous remarks in this evaluation with regard to disbursement rates were made in the context of the \$3.5 million figure. Any proposals for an additional obligation of \$500,000 should take this into consideration.

Status of Recommendations from 1977 Evaluation

RECOMMENDATION

1. DTEC to review internal procedures regarding TTMS to insure expeditious review and assessment of requests, and use of funds.

OUR FINDING

The first evaluation took place at the time when the TTMS project was beginning to move after taking quite a period of time to get itself acquainted with the new approach of the U.S. assistance program, under which the RTG/DTEC took over the previous role of USAID in implementing participant training and the recruitment of U.S. technicians.

After the first evaluation, the program moved more rapidly, especially with regard to training. Consultant recruitment difficulties are covered above in the first part of this evaluation.

See numbers 3 and 5 below.

2. DTEC/USAID review role of USAID in reviewing and approving training/advisory requests.

OUR FINDING

Several meetings between DTEC and USAID have been conducted in compliance with this recommendation. DTEC is the sole party to approve training/advisory services under TTMS project as specified in the agreement. However, internal discussions will be held with USAID for concurrence prior to approval. DTEC formerly viewed USAID's signature in Block 18 of the PIO/T as sufficient concurrence in the placement of participants.

3. Internal approval of activities under TTMS to include checklist and rating form which will assist in determining whether or not the proposal addresses a TTMS problem area.

OUR FINDING

Review and assessment of proposals addressed to a TTMS problem area is done by the DTEC Sub-committee on

Allocation of Fellowships. This Sub-committee is composed of the following persons:

Director-General or Deputy Director-General	- Chairman of Sub-Committee
Director of Population and Manpower Planning Division, NESDB	- Member
Representative from Bureau of the Budget	- Member
Representative from Civil Service Commission	- Member
Representative from Ministry of Foreign Affairs	- Member
Official from DTEC	- Member and Secretary

The Sub-committee reviews fields of training indicated in the RTG's Blue Book annex to the Fourth Five Year Plan (FFYP). A checklist and rating form would therefore be redundant since a TTMS problem area must necessarily be one listed in the FFYP.

4. Further transfers of funds from USAID to DTEC should be delayed until program requirements indicate a need for additions.

OUR FINDING

The problem has been solved by administrative arrangement.

5. TTMS Information:

- a. DTEC to inform operating ministries about TTMS:

What it is, priorities criteria for use information required.

- b. Circulate an information sheet to other RTG offices which sets forth specific and mutual responsibilities for contractor support.

OUR FINDING

The Department of Technical and Economic Cooperation (DTEC) represents the RTG in reviewing foreign technical and economic assistance. Information was passed out by DTEC to RTG agencies for them to identify training needs during the FFYP period. These training requirements were compiled and formulated into "Technical Assistance Requirements" (Blue Book). This Blue Book was submitted to the DTEC Sub-committee for the Allocation of Fellowships for review and approval. The book then served as a training guideline for DTEC officials to follow accordingly.

- c. Expand the TTMS format for making application for training and experts to include material on how these inputs relate to basic problems and how the Ministry expects to evaluate them once completed.

OUR FINDING

Provisions containing information on how inputs relate to basic problems and how the Ministry expects to evaluate them once completed are printed on the application form to be filled out by operating ministries when they are chosen by the Sub-committee for training.

- d. Request using-agencies relate requests for assistance to development plans and include evaluation plans in request.

OUR FINDING

See c. above.

6. Revise PPT network to reflect changes in design or administration of TTMS.

OUR FINDING

Completed.

Revised

PROJECT DESIGN SUMMARY

LOGICAL FRAMEWORK

Project Title & Number: Transfers of Technology and Management Skills 493-11-755-274

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Inputs: (D-1)</p> <p>1. Training</p> <p>2. Advisory Services</p>	<p>Implementation Target (D-2) (Note: Training itself is not an inputs)</p> <p>1. <u>US</u> \$2 million/foreign exchange costs) and local currency.</p> <p>RTG 600,000/salaries travel and language training.</p> <p>2. <u>US</u> \$2 million foreign exchange costs.</p> <p>RTG \$500,000 local costs.</p>	<p>(D-3)</p> <p>RTG/USAID budget and project documentation.</p>	<p>Assumptions for providing Inputs: (D-4)</p> <p>Qualified people are available for training and advisory services.</p> <p>RTG procedures provide for the selection of the best qualified people for training.</p> <p>RTG consultant recruitment system sufficiently organized to contact and hire consultants in a timely manner.</p>

Revised

PROJECT DESIGN SUMMARY

LOGICAL FRAMEWORK

Project Title & Number: Transfers of Technology and Management Skills 493-11-755-274

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Outputs: (C-1)</p> <p>1. RTG personnel trained in priority areas defined in Fourth Five Year Plan.</p> <p>2. Advisory services provided in priority areas of FFYP.</p>	<p>Magnitude of Outputs: (C-2)</p> <p>1. 2,000 person/months of on-the-job, observation and academic training provided.</p> <p>2. 400 person/months of short and long term contract services provided.</p>	<p>(C-3)</p> <p>Records of DTEC Training Division.</p> <p>USAID training records and financial obligation/disbursement records.</p> <p>RTG agencies records and reports of advisors.</p>	<p>Assumptions for achieving outputs: (C-4)</p> <p>When trainees return, they will remain in Government and work in the fields in which they were trained.</p> <p>The RTG will continue to require the proportions of training and advisory services stated in the original project agreement.</p>

Revised

PROJECT DESIGN SUMMARY

LOGICAL FRAMEWORK

Project Title & Number: Transfers of Technology and Management Skills 493-11-755-274

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Project Purpose: (B-1)</p> <p>To improve Royal Thai Government capabilities in development policy and problem analysis, program planning and evaluation.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status. (B-2)</p> <ol style="list-style-type: none">1. Analysis performed in priority areas.2. Better defined more specific plans of action.3. Accelerated implementation of projects.4. Greater number of, and improved evaluations of projects/programs.	<p>(B-3)</p> <ol style="list-style-type: none">1. Analytical studies.2. NESDB and DTEC evaluations of programs and projects.3. Other donor analysis of projects and programs.	<p>Assumption for achieving purpose: (B-4)</p> <p>There will be a parallel increase in intra-government coordination and cooperation in addition to TTMS activities.</p>

Revised

PROJECT DESIGN SUMMARY

LOGICAL FRAMEWORK

Project Title & Number: Transfers of Technology and Management Skills 493-11-755-274

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes: (A-1)</p> <p>More efficient RTG allocation and utilization of resources in priority areas specified by the Fourth Five Year Plan.</p>	<p>Measures of Goal Achievement: (A-2)</p> <p>Improved implementation of strategies identified in the FFYP.</p>	<p>(A-3)</p> <p>Fourth Five Year Plan.</p> <p>Policies budgets, allocation of skilled personnel (RTG budget).</p>	<p>Assumption for achieving goal targets: (A-4)</p> <p>There will be no significant shift in priorities due to economic and political changes.</p>