

4980208
70-44F-068-61
REPORT U-008

AID 1020-28 (10-70)

PROJECT APPRAISAL REPORT (PAR)

PAGE 1

1. PROJECT NO. 498-11-995-208	2. PAR FOR PERIOD: April 1, 1975 TO May 30, 1976	3. COUNTRY Asia Regional	4. PAR SERIAL NO. 76-2 //p
5. PROJECT TITLE East Asia Research Program (EARP); A sub-project to the Southeast Asia Advisory Group (SEADAG). (This PAR does not address the SEADAG portion of the project.)			
6. PROJECT DURATION: Began FY 1971 Ends FY 1977		7. DATE LATEST PROP N/A	8. DATE LATEST PIP N/A
10. U.S. FUNDING	a. Cumulative Obligation Thru Prior FY: \$142,000	b. Current FY Estimated Budget: \$300,000/1Q50,000	c. Estimated Budget to completion After Current FY: \$250,000

11. KEY ACTION AGENTS (Contractor, Participating Agency or Voluntary Agency)

a. NAME	b. CONTRACT, PASA OR VOL. AG. NO.
SEAsian Universities and Government Planning Organization	cited as appropriate
as specified herein.	within PAR.

I. NEW ACTIONS PROPOSED AND REQUESTED AS A RESULT OF THIS EVALUATION

A. ACTION (X)			B. LIST OF RECOMMENDATIONS RECOMMENDATIONS	C. PROPOSED ACTION COMPLETION DATE
USAID	AID/W	HOST		
			<p>Pursuant to list of Actions noted in PAR FY 75-6</p> <p>1. The continuance of EARP as a separate RED project appears unwarranted in view of the following:</p> <p>a. the amount of management time required for programming, implementing and evaluating research projects with discretionary funding levels of \$3,000 or less is grossly disproportionate with any benefits discernible so far. RED recommends discontinuance as a field based operation.</p> <p>b. of 35 research projects completed, half contributed to host country policy changes, produced follow-on research or were utilized by AID in seminars/publications. RED believes this is noteworthy and recommends consequently that the project be managed from AID/W.</p> <p>c. of 35 research projects completed 80 percent viewed by RED as acceptable quality of research.</p> <p>d. measurable impact is very difficult in view of the wide geographic coverage (six Southeast Asia countries), breadth of diverse development areas addressed, lack of prior agreement on objectively verifiable indicators of progress and completion within a regional context. RED believes that measurable impact is contingent upon active encouragement of Asian researchers, available regional network for disseminating research findings and vigorous follow-up by the respective USAID's</p> <p>e. impact has been nil upon Southeast Asian research methodologies.</p> <p>2. EARP as a conceptual entity should be managed from AID/W by Asia Bureau rather than as a discrete field project, beginning October 1, 1976.</p> <p>3. Other donor participation is desirable and recommended in future. Under AID/W management vigorous participation by USAID's should be encouraged in recruiting other donor participation to broaden interest and funding bases critical to research project success.</p>	

D. REPLANNING REQUIRES: REVISED OR NEW: PROP PIP PRO AG PIO/T PIO/L PIO/P

E. DATE OF MISSION REVIEW: **June 7, 1976**

PROJECT MANAGER: TYPED NAME, SIGNED INITIALS AND DATE | MISSION DIRECTOR: TYPED NAME, SIGNED INITIALS AND DATE

AID 1020-28 (10-70)	PROJECT NO. 498-11-995-208	PAR FOR PERIOD: TO April 1, 1975 May 30, 1976	COUNTRY Asia Regional	PAR SERIAL NO. 76-2
PAGE 2 PAR				

II. PERFORMANCE OF KEY INPUTS AND ACTION AGENTS

A. INPUT OR ACTION AGENT CONTRACTOR, PARTICIPATING AGENCY OR VOLUNTARY AGENCY	B. PERFORMANCE AGAINST PLAN							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (X)					
	UNSATISFACTORY		SATISFACTORY			OUTSTANDING		LOW		MEDIUM		HIGH	
	1	2	3	4	5	6	7	1	2	3	4	5	
1. <u>RTG Ministry of Public Health</u> <u>AID 490-25</u>					X								X
2. <u>Seppenas, Indonesia</u> <u>(National Planning Organization)</u>					X								X
3. <u>Kasetsart University, Thailand</u>													
4. <u>Mahidol University, Thailand</u>													

Comment on key factors determining rating

Ratings reflect judgments of AID project managers based on interviews and other subjective judgments.

4. PARTICIPANT TRAINING	1	2	3	4	5	6	7	1	2	3	4	5
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Comment on key factors determining rating

N/A

5. COMMODITIES	1	2	3	4	5	6	7	1	2	3	4	5
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Comment on key factors determining rating

N/A

6. COOPERATING COUNTRY	a. PERSONNEL	1	2	3	4	5	6	7	1	2	3	4	5
	b. OTHER					X							X

Comment on key factors determining rating

Research projects have been undertaken during the reporting period in Indonesia and Thailand: Management of the research has been by two universities and two governmental Ministries. Each institution or organization has provided the appropriate support in keeping with the conditions stipulated in the respective obligating documents.

7. OTHER DONORS	No judgment necessary.											
	1	2	3	4	5	6	7	1	2	3	4	5

(See Next Page for Comments on Other Donors)

AID 1020-28(10-70) PAGE 3 PAR	PROJECT NO. 498-11-995-208	PAR FOR PERIOD: April 1, 1975 to May 30, 1976	COUNTRY Asia Regional	PAR SERIAL NO. 76-2
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II. 7. Continued: Comment on key factors determining rating of Other Donors

The original EARP project design did not include an EOPS indicator that addressed participation by other donors in view of the fact that the project's emphasis was upon encouraging Asian researchers and their institutions to initiate research projects without regard for the level of funding magnitudes.

III. KEY OUTPUT INDICATORS AND TARGETS

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (Percentage/Rate/Amount)					END OF PROJECT
		CUMU- LATIVE PRIOR FY	CURRENT FY		FY <u>77</u>	FY <u> </u>	
			TO DATE	TO END			
Number of Research Projects funded.	PLANNED	42	4	4	6	-	52
	ACTUAL PERFORM- ANCE	45	4				
	REPLANNED			0	0	0	0
	PLANNED						
	ACTUAL PERFORM- ANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORM- ANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORM- ANCE						
	REPLANNED						
D. QUALITATIVE INDICATORS FOR MAJOR OUTPUTS		COMMENT: Only one research project was completed in FY 76.					
1.	Excellence of Research Projects Completed	The Frankel Water Filter Project: or Development and Field Testing of the Coconut Fiber/Burnt Rice Husk Filter for Supplying Drinking Water to Rural Communities in Southeast Asia, was critiqued per TOAID A-40 dtd Feb. 9, 1976. Two other FY 76 funded projects began late in FY 76.					
2.	Submission of Final Report on time.	COMMENT: The Frankel Water Filter Project Report was submitted in a timely manner. Other projects in progress or began late FY 76.					
3.	Usefulness of research findings.	COMMENT: The impact of the Frankel Water Filter findings is unmeasurable at this time. The final report was dispatched to ASIA Bureau, USAID's, AVRDC, SEARCA & SEATAO February 1976. Further follow-up will be recommended in RED's FY 1978 ABS. Other projects are in progress.					

AID 1020-25 (10-70)	PROJECT NO. 498-11-995-208	PAR FOR PERIOD: April 1, 1975 to May 30, 1976	COUNTRY Asia Regional	PAR SERIAL NO. 76
PAGE 4 PAR				

IV. PROJECT PURPOSE

1. Statement of purpose as currently envisaged.

2. Same as in PROP? YES NO

To encourage low-cost, medium-term, development-oriented research by Asian researchers and institutions or by AID in collaboration with Asians.

a. 1. Conditions which will exist when above purpose is achieved.	2. Evidence to date of progress toward these conditions.
<p>1. A raised level of research competence among Asian researchers and institutions.</p> <p>2. Opportunity available for funding discrete low cost development oriented research.</p> <p>3. Specific development constraints alleviated by results of research.</p> <p>4. A network will exist thru which Asian research results are distributed in Southeast Asia.</p> <p>5. AID review system perfected so timely funding can be affected.</p> <p>6. An encouraging climate will exist for research within which Asians will gain experience.</p>	<p>1. It remains unlikely that any change in levels of research competence can be measured.</p> <p>2. An AID policy judgment to phase down RED precludes any field stimulation to generate small scale low cost development research; therefore existing opportunity is no longer available except thru bilateral AID missions in coordination with AID/W.</p> <p>3. No evidence, even subjective, is available to suggest that any development constraints were alleviated during the reporting period.</p> <p>4. The network concept was valid so long as an AID regional office was charged with generating EARP type project proposals and distributing their results.</p> <p>5. From inception to date there is no evidence that the review system has become more effective. Results of AID/W review are not received in the field any faster now than in 1971.</p> <p>6. The encouraging climate for research existed during the specific research effort and dissipated when the final report was submitted. The experience gained cannot be measured as it impacted subsequently on other problems.</p>

V. PROGRAMMING GOAL

A. Statement of Programming Goal

To support development with research.

B. Will the achievement of the project purpose make a significant contribution to the programming goal, given the magnitude of the national problem? Cite evidence. **No.** The project purpose can at best, make only a tangential impact on the programming goal. This is due to the low level of magnitude of funding discrete research proposals, the diversity of problem areas (sectors) under research, the breadth of the geographic region within which the research takes place and the clear low priority host governments give to the projects. Furthermore, the amount of AID staff time required at the field level for the discretionary grants of \$3,000 and less, is far disproportionate to any stimulus or effects that the project might exert on regional research requirements, however defined. The magnitude of the research needs of the region are not determinable, thus it is doubtful if a discrete AID regional project, divided so thinly, can claim any results. Under AID/W management, RED recommends that USAID's be encouraged to recruit the participation of other donors in future research projects on the ground that a broadened interest and financial base is contributory to project success.

**SEMINAR ON "DEVELOPMENT OF SMALL SCALE HYDROELECTRIC
POWER AND FERTILIZER PRODUCTION IN NEPAL"**

Chairman: Roger Revelle
Estimated Budget

1. International Airfares (6)		12,000.
2. Domestic Airfares (16) (Kathmandu-Pokhara @ \$50.)		800.
3. Per Diem Expenses:*		
International Experts: 6 x 6 days x \$45.	1,620.	
Nepalis: 10 x 5 days x \$45.	2,250.	3,870.
4. Additional Costs (local transportation, visas, inoculations): 16 people x \$50.		800.
5. Stopovers: 6 x \$45. x 2		540.
6. Meeting Costs (rentals, conference facilities, breaks, gratuities, xeroxing, recording system)**		500.
7. Administrative Travel (2)	4,000.	
Administrative Per Diem (2 x 10 days x \$45.)	900.	4,900.
8. Honoraria		
6 papers @ \$300.	1,800.	
1 report @ \$500.	500.	2,300.
9. Publications: 1 report (limited distribution)		100.
10. Communications: (cable, telephone, postage)		1,000.
11. Chairman's Support		<u>1,000.</u>
Total Direct Costs		27,810.
12. Overhead: SEADAG Funds (\$9,200. @ 25%)	<i>12,389</i>	<i>3,097</i>
New Funds (\$18,610. @ 30%)	<i>5,583</i>	<i>7,779</i>
Total Direct and Indirect Costs	<i>15,421</i>	<i>4,626</i>
		<u>35,693.</u>
13. Contingency Factor (10%)		<i>3,569.</i>
GRAND TOTAL	<i>SEADAG 15,486</i>	<u>39,262.</u>
	<i>New Fund 23,580</i>	<i>666</i>
	<i>39,066</i>	

* Estimate based on 4 day seminar. Agreement has not yet been reached on the precise number of Nepali participants. Therefore, this figure of ten is subject to revision pending further consultation with co-Chairman Shrestha.

** Does not include any similar expenses which might be incurred by the local organizers, National Council for Science and Technology. An estimate of such expenses is not yet available pending further consultation with co-Chairman Shrestha.

AIRGRAM

DEPARTMENT OF STATE

Duplicate

UNCLASSIFIED
CLASSIFICATION

For each address check one ACTION | INFO

DATE REC'D.

TO - AID/Washington

TOAID A-117

X

1976 JUN 17

PM 4 12

DATE SENT

6-9-76

DISTRIBUTION

ACTION

INFO.

MAIL ROOM

35w

FROM - RED/Bangkok

E.O. 11652: N/A

SUBJECT - RED: East Asia Research Program (EARP) (498-11-995-208)
Project Appraisal Report (PAR)

REFERENCE - TOAID A-295 dtd. 9-18-75

Attached with this airgram is the Project Appraisal Report (PAR76-2) for that portion of Project 498-11-995-208 entitled the East Asia Research Program (EARP) for the period April 1, 1975 through May 30, 1976.

WHITEHOUSE

Attachments a/s

PAGE 1 OF 1

DRAFTED BY	OFFICE	PHONE NO.	DATE	APPROVED BY:
WBoehm:rm	RED	291	6/9/76	Louis A. Cohen, Acting Dir

A. I. D. AND OTHER CLEARANCES

AMB, DCM, ECON, RED-5, FILES, USOM, CEMB

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CLASSIFICATION

PAGE 1

PROJECT APPRAISAL REPORT (PAR)

1. PROJECT NO. 498-11-995-208	2. PAR FOR PERIOD: April 1, 1975^{TD} May 30, 1976	3. COUNTRY Asia Regional	4. PAR SERIAL NO. 76-2
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5. PROJECT TITLE
East Asia Research Program (EARP); A sub-project to the Southeast Asia Advisory Group (SEADAG). (This PAR does not address the SEADAG portion of the project.)

6. PROJECT DURATION: Began FY 1971 Ends FY 1977	7. DATE LATEST PROP N/A	8. DATE LATEST PIP N/A	9. DATE PRIOR PAR April 1975
---------------------------------------------------------------	-----------------------------------	----------------------------------	----------------------------------------

10. U.S. FUNDING	a. Cumulative Obligation Thru Prior FY: \$142,000	b. Current FY Estimated Budget: \$300,000/1Q50,000	c. Estimated Budget to completion After Current FY: \$250,000
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11. KEY ACTION AGENTS (Contractor, Participating Agency or Voluntary Agency)

a. NAME	b. CONTRACT, PASA OR VOL. AG. NO.
SEAsian Universities and Government Planning Organization	cited as appropriate
as specified herein.	within PAR.

I. NEW ACTIONS PROPOSED AND REQUESTED AS A RESULT OF THIS EVALUATION

A. ACTION (X)			B. LIST OF RECOMMENDATIONS RECOMMENDATIONS	C. PROPOSED ACTION COMPLETION DATE
USAID	AID/W	HOST		
			<p>Pursuant to list of Actions noted in PAR FY 75-6</p> <p>1. The continuance of EARP as a separate RED project appears unwarranted in view of the following:</p> <p>a. the amount of management time required for programming, implementing and evaluating research projects with discretionary funding levels of \$3,000 or less is grossly disproportionate with any benefits discernible so far. RED recommends discontinuance as a field based operation.</p> <p>b. of 35 research projects completed, half contributed to host country policy changes, produced follow-on research or were utilized by AID in seminars/publications. RED believes this is noteworthy and recommends consequently that the project be managed from AID/W.</p> <p>c. of 35 research projects completed 80 percent viewed by RED as acceptable quality of research.</p> <p>d. measurable impact is very difficult in view of the wide geographic coverage (six Southeast Asia countries), breadth of diverse development areas addressed, lack of prior agreement on objectively verifiable indicators of progress and completion within a regional context. RED believes that measurable impact is contingent upon active encouragement of Asian researchers, available regional network for disseminating research findings and vigorous follow-up by the respective USAID's</p> <p>e. impact has been nil upon Southeast Asian research methodologies.</p> <p>2. EARP as a conceptual entity should be managed from AID/W by Asia Bureau rather than as a discrete field project, beginning October 1, 1976.</p> <p>3. Other donor participation is desirable and recommended in future. Under AID/W management vigorous participation by USAID's should be encouraged in recruiting other donor participation to broaden interest and funding bases critical to research project success.</p>	

D. REPLANNING REQUIRES						E. DATE OF MISSION REVIEW	
REVISED OR NEW:	<input checked="" type="checkbox"/> PROP	<input type="checkbox"/> PIP	<input type="checkbox"/> PRD AG	<input type="checkbox"/> PIO/T	<input type="checkbox"/> PIO/C	<input type="checkbox"/> PIO/P	June 7, 1976
PROJECT MANAGER: TYPED NAME SIGNED INITIALS AND DATE				MISSION DIRECTOR: TYPED NAME SIGNED INITIALS AND DATE			

AID 1020-28 (10-70) PAGE 2 PAR	PROJECT NO. 498-11-995-208	PAR FOR PERIOD: TO April 1, 1975 May 30, 1976	COUNTRY Asia Regional	PAR SERIAL NO. 76-2
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II. PERFORMANCE OF KEY INPUTS AND ACTION AGENTS

A. INPUT OR ACTION AGENT CONTRACTOR, PARTICIPATING AGENCY OR VOLUNTARY AGENCY	B. PERFORMANCE AGAINST PLAN							C. IMPORTANCE FOR ACHIEVING PROJECT PURPOSE (X)					
	UNSATISFACTORY		SATISFACTORY			OUTSTANDING		LOW		MEDIUM		HIGH	
	1	2	3	4	5	6	7	1	2	3	4	5	
1. RTG Ministry of Public Health AID 490-25													
2. Bappenas, Indonesia (National Planning Organization)				X									X
3. Kasetsart University, Thailand				X									X
4. Mahidol University, Thailand													
Comment on key factors determining rating Began May 1976 Began May 1976													

Ratings reflect judgments of AID project managers based on interviews and other subjective judgements.

4. PARTICIPANT TRAINING	1	2	3	4	5	6	7	1	2	3	4	5
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Comment on key factors determining rating

N/A

5. COMMODITIES	1	2	3	4	5	6	7	1	2	3	4	5
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Comment on key factors determining rating

N/A

6. COOPERATING COUNTRY	a. PERSONNEL	1	2	3	4	5	6	7	1	2	3	4	5
	b. OTHER					X							X

Comment on key factors determining rating

Research projects have been undertaken during the reporting period in Indonesia and Thailand: Management of the research has been by two universities and two governmental Ministries. Each institution or organization has provided the appropriate support in keeping with the conditions stipulated in the respective obligating documents.

7. OTHER DONORS	No judgment necessary.							1	2	3	4	5
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(See Next Page for Comments on Other Donors)

AID 1020-28(10-70)	PROJECT NO. 498-11-995-208	PAR FOR PERIOD: April 1, 1975 to May 30, 1976	COUNTRY Asia Regional	PAR SERIAL NO. 76-2
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II. 7. Continued: Comment on key factors determining rating of Other Donors

The original EARP project design did not include an EOPS indicator that addressed participation by other donors in view of the fact that the project's emphasis was upon encouraging Asian researchers and their institutions to initiate research projects without regard for the level of funding magnitudes.

III. KEY OUTPUT INDICATORS AND TARGETS

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (Percentage/Rate/Amount)					END OF PROJECT
		CUMULATIVE PRIOR FY	CURRENT FY		FY 77	FY _____	
			TO DATE	TO END			
Number of Research Projects funded.	PLANNED	42	4	4	6	-	52
	ACTUAL PERFORMANCE	45	4				
	REPLANNED			0	0	0	0
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
QUALITATIVE INDICATORS FOR MAJOR OUTPUTS		COMMENT: Only one research project was completed in FY 76. The Frankel Water Filter Project: or Development and Field Testing of the Coconut Fiber/Burnt Rice Husk Filter for Supplying Drinking Water to Rural Communities in Southeast Asia, was critiqued per TOAID A-40 dtd Feb. 9, 1976. Two other FY 76 funded projects began late in FY 76.					
1.	Excellence of Research Projects Completed	COMMENT: The Frankel Water Filter Project Report was submitted in a timely manner. Other projects in progress or began late FY 76.					
2.	Submission of Final Report on time.	COMMENT: The impact of the Frankel Water Filter findings is unmeasurable at this time. The final report was dispatched to ASIA Bureau, USAID's, AVRDC, SEARCA & SEATA February 1976. Further follow-up will be recommended in RED's FY 1978 ABS. Other projects are in progress.					
3.	Usefulness of research findings.						

AID 1020-25 (10-70)	PROJECT NO.	PAR FOR PERIOD:	COUNTRY	PAR FOR PERIOD NO.
PAGE 4 PAR	498-11-995-208	April 1, 1975 to May 30, 1976	Asia Regional	76-3

IV. PROJECT PURPOSE

1. Statement of purpose as currently envisaged.

2. Same as in PROP? YES NO

To encourage low-cost, medium-term, development-oriented research by Asian researchers and institutions or by AID in collaboration with Asians.

a. 1. Conditions which will exist when above purpose is achieved.	2. Evidence to date of progress toward these conditions.
1. A raised level of research competence among Asian researchers and institutions. 2. Opportunity available for funding discrete low cost development oriented research. 3. Specific development constraints alleviated by results of research. 4. A network will exist thru which Asian research results are distributed in Southeast Asia. 5. AID review system perfected so timely funding can be affected. 6. An encouraging climate will exist for research within which Asians will gain experience.	1. It remains unlikely that any change in levels of research competence can be measured. 2. An AID policy judgment to phase down RED precludes any field stimulation to generate small scale low cost development research; therefore existing opportunity is no longer available except thru bilateral AID missions in coordination with AID/W. 3. No evidence, even subjective, is available to suggest that any development constraints were alleviated during the reporting period. 4. The network concept was valid so long as an AID regional office was charged with generating EARP type project proposals and distributing their results. 5. From inception to date there is no evidence that the review system has become more effective. Results of AID/W review are not received in the field any faster now than in 1971. 6. The encouraging climate for research existed during the specific research effort and dissipated when the final report was submitted. The experience gained cannot be measured as it impacted subsequently on other problems.

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A. Statement of Programming Goal

To support development with research.

B. Will the achievement of the project purpose make a significant contribution to the programming goal, given the magnitude of the national problem? Cite evidence. **NO.** The project purpose can at best, make only a tangential impact on the programming goal. This is due to the low level of magnitude of funding discrete research proposals, the diversity of problem areas (sectors) under research, the breadth of the geographic region within which the research takes place and the clear low priority host governments give to the projects. Furthermore, the amount of AID staff time required at the field level for the discretionary grants of \$3,000 and less, is far disproportionate to any stimulus or effects that the project might exert on regional research requirements, however defined. The magnitude of the research needs of the region are not determinable, thus it is doubtful if a discrete AID regional project, divided so thinly, can claim any results. Under AID/W management, RED recommends that USAID's be encouraged to recruit the participation of other donors in future research projects on the ground that a broadened interest and financial base is contributory to project success.

AIRGRAM

4980208001001

DEPARTMENT OF STATE

UNCLASSIFIED
CLASSIFICATION

Michael
Lib - [unclear] / [unclear]

For each address check one ACTION | INFO

TO - AID/Washington TOAID A-117 X

1976 JUN 17

DATE REC'D.

PM 4 12

DATE SENT

6-9-76

DISTRIBUTION
ACTION

INFO.

MAIL ROOM

35w

FROM - RED/Bangkok
E.O. 11652: N/A

SUBJECT - RED: East Asia Research Program (EARP) (498-11-995-208)
Project Appraisal Report (PAR)

REFERENCE - TOAID A-295 dtd. 9-18-75

Attached with this airgram is the Project Appraisal Report (PAR76-2) for that portion of Project 498-11-995-208 entitled the East Asia Research Program (EARP) for the period April 1, 1975 through May 30, 1976.

498-208

WHITEHOUSE

Attachments a/s

PAGE 1 OF 1

DRAWN BY WVBoehn: EM	OFFICE RED	PHONE NO. 291	DATE 6/9/76	APPROVED BY: Louis A. Cohen, Acting Dir
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A. I. D. AND OTHER CLEARANCES

AMB, DCM, ECON, RED-5, FILES, USOM, CEMB,

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