

150-0001

**AIRGRAM**

DEPARTMENT OF STATE

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FROM - LISBON  
E.O. 12065 N/A  
SUBJECT - Project Evaluation Summary - Technical Consultants  
and Training Grant, University Institute of the  
Azores/University of Rhode Island. (Contract  
No. AID/NE-C-1477). PES No. 150-79-1.

1. This Airgram serves as transmittal document for subject Project Evaluation Summary (PES).
2. The PES includes URI's Annual Report for the period January 12, 1978 through January 24, 1979 as an attachment. The Contractor's report contains URI's proposal for phase two of the project together with URI's proposed budget for the period April 12, 1979 - July 11, 1980.

BLOOMFIELD

attach to be run w/airgram

PAGE 1 OF PAGES

DRAFTED BY RLChamberlain:amc	OFFICE AID Rep.	PHONE NO. 358	DATE 3/20/79	APPROVED BY: AID: [Signature]
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AID AND OTHER CLEARANCES  
[Signature]

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CLASSIFICATION  
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

<b>1. PROJECT TITLE</b> Technical Consultants and Training Grant, University Institute of the Azores/University of Rhode Island. (Contract No. AID/NE-C-1477).			<b>2. PROJECT NUMBER</b> 150-0001	<b>3. MISSION/AID/W OFFICE</b> USAID/LISBON		
<b>4. EVALUATION NUMBER</b> (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) <u>150-79-1</u>						
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION						
<b>5. KEY PROJECT IMPLEMENTATION DATES</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-right: 1px solid black;"> <b>A. First PRO-AG or Equipment FY 1978</b> </td> <td style="width: 33%; border-right: 1px solid black;"> <b>B. Final Obligation Expected FY 1979</b> </td> <td style="width: 33%;"> <b>C. Final Input Delivery FY 1980</b> </td> </tr> </table>		<b>A. First PRO-AG or Equipment FY 1978</b>	<b>B. Final Obligation Expected FY 1979</b>	<b>C. Final Input Delivery FY 1980</b>	<b>7. PERIOD COVERED BY EVALUATION</b> From (month/yr.) <u>Jan. 12, 1978</u> To (month/yr.) <u>Jan. 11, 1979</u> Date of Evaluation Review <u>Jan. 12-24, 1979</u>	
<b>A. First PRO-AG or Equipment FY 1978</b>	<b>B. Final Obligation Expected FY 1979</b>	<b>C. Final Input Delivery FY 1980</b>				
<b>6. ESTIMATED PROJECT FUNDING</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">A. Total</td> <td>\$ <u>600,000</u></td> </tr> <tr> <td>B. U.S.</td> <td>\$ <u>600,000</u></td> </tr> </table>			A. Total	\$ <u>600,000</u>	B. U.S.	\$ <u>600,000</u>
A. Total	\$ <u>600,000</u>					
B. U.S.	\$ <u>600,000</u>					

**8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR**

A. List decisions and/or unresolved issues; cite these items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIQ, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
<u>Conclusions/Actions</u>		
A. <u>General</u> - Project progress to date is behind schedule but satisfactory. In light of first year's project implementation, life of project (3 years) purpose and outputs are overstated and should be revised.	UIA/URI/USAID	Feb. 28, 1979
B. <u>Project Implementation</u>		
1. <u>Agriculture</u>		
a) Consultant services should be reduced and concentrated on areas of highest priority.	URI	Ongoing
b) Participant training should be increased.	URI/UIA	Ongoing
2. <u>Fisheries</u>		
a) More emphasis should be placed on extension.	URI/UIA	Ongoing
b) Nature of URI assistance to UIA needs to be reviewed with clear objectives established for TA in this area.	URI/UIA	March 31, 1979
3. <u>Extension</u>		
a) UIA will focus on training of extensionists rather than development of an extension service.	UIA	Ongoing
C. <u>Project Administration</u>		
a) Contract will provide for periodic consultation travel to the U.S. by co-project leader resident in the Azores.	USAID/AID/W	April 11, 1979
b) Cost of Defense Base Act Insurance will be added to original budget allocations approved by USAID.	USAID/AID/W	"
c) Small additional time allocation for URI support personnel will be provided for in a contract.	USAID/AID/W	"
d) URI will review status of funds committed for consultants, training, and equipment periodically with UIA.	URI	Ongoing
D. <u>Project documentation</u> - a) Project purpose, inputs, outputs, implementation plan, and contractor's proposed budget (Financial Plan) should be revised. b) Negotiate contract extension based on revised implementation plan and budget.	AID/W/URI	

<b>9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td><input type="checkbox"/> Project Paper</td> <td><input checked="" type="checkbox"/> Implementation Plan e.g., CPI Network</td> <td><input checked="" type="checkbox"/> Other (Specify)</td> </tr> <tr> <td><input checked="" type="checkbox"/> Financial Plan</td> <td><input checked="" type="checkbox"/> PIO/T (Contract No. <u>AID/NE-C-1477</u>)</td> <td></td> </tr> <tr> <td><input checked="" type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> PIO/C</td> <td><input type="checkbox"/> Other (Specify)</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> PIO/P</td> <td></td> </tr> </table>	<input type="checkbox"/> Project Paper	<input checked="" type="checkbox"/> Implementation Plan e.g., CPI Network	<input checked="" type="checkbox"/> Other (Specify)	<input checked="" type="checkbox"/> Financial Plan	<input checked="" type="checkbox"/> PIO/T (Contract No. <u>AID/NE-C-1477</u> )		<input checked="" type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify)	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P		<b>10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT</b> A. <input type="checkbox"/> Continue Project Without Change B. <input checked="" type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
<input type="checkbox"/> Project Paper	<input checked="" type="checkbox"/> Implementation Plan e.g., CPI Network	<input checked="" type="checkbox"/> Other (Specify)											
<input checked="" type="checkbox"/> Financial Plan	<input checked="" type="checkbox"/> PIO/T (Contract No. <u>AID/NE-C-1477</u> )												
<input checked="" type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify)											
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P												

<b>11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles)</b> R.L. Chamberlain Project Manager, A.I.D. <i>Rlc</i> Dr. José Enes, Rector of University Institute of the Azores Dr. A. Carvão, Delegate of the Regional Secretariat for Agriculture and Fisheries.	<b>12. Mission/AID/W Office Director Approval</b> Signature <i>Glenn O. Patterson</i> Typed Name <u>Glenn O. Patterson</u> AID Representative Date _____
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**Project Evaluation Summary — Part II, Narrative**

**University Institute of the Azores/University of  
Rhode Island, Contract AID/NE-C-1477**

**USAID/LISBON  
Project No.150-0001  
PES No. 150-79-1**

**SUMMARY**

The Azores Agricultural and Fisheries Development Project was initiated in January of 1978 and has a planned total duration of 30 months. The University of Rhode Island (URI) is the prime contractor. Total estimated contract cost is U.S.\$586,925. Major project inputs are technical assistance and participant training. U.S.\$31,850 was budgeted for the purchase of equipment and materials. The primary Azorean institution assisted is the Instituto Universitário dos Açores (IUA), which was established in 1976 and given major responsibility for promoting Azorean development through teaching, research and extension. The original project purpose was to "upgrade and expand the capabilities of IUA to become a primary source of training, research and extension in agriculture and fisheries". It should be noted that in some areas of project activity the objective was not really to upgrade and expand an existing program, but rather, to create a new program. Total project time, 30 months, is thus, considered to be too short a time period in which fully to achieve the project purpose. The present evaluation covers the first 12 months of project activities (Phase I).

Project development has been slower than originally anticipated. Nevertheless, within the constraints imposed by the existing Azorean development situation, many aspects of project development have been satisfactory. As project inputs URI has provided 9 1/2 man months of institutional planning and project coordination time, 12 man months of short-term consultant time, short-term training in the U.S. for 4 persons, and approximately U.S. \$14,000 in equipment. Also, there is one IUA staff member receiving Ph.D.-level training in Food Technology outside the contract. Achievements to date have been consistent with original project objectives.

Major problems encountered during Phase I implementation are: the exact roles to be played in the development of rural extension activities by IUA and the recently established Regional Government of the Azores (RGA) were not well defined; IUA had not clearly defined the teaching and research areas it wished to upgrade and expand; on occasions, full-time counterpart staff was not available to work with URI consultants; in some areas of project activity there was a lack of equipment; also, there were some delays in the construction and development of facilities.

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Further, the Contractor has experienced difficulties in getting project equipment through customs and in communications (transport, mail, telex, etc.).

Some problems are a result of the project being located in the Azores and are not likely to be solved within the life of the project. For example, the Contractor's difficulties in clearing items through customs might have been solved more quickly had there been an A.I.D. Mission in the Azores. Difficulties in communications will also probably remain a problem throughout the life of the project.

Other problems have been solved or will be solved as a result of recent decisions taken by the RGA (such as the approval for IUA to purchase the land selected for the University's demonstration farm) and as a result of the project evaluation process itself, which resulted in a very frank and very productive review of project implementation to date.

Given the changes which have been proposed in project design and implementation, there is a reasonable expectation that Phase II activities will be more effective in contributing to a successful achievement of project purpose.

#### EVALUATION METHODOLOGY

Evaluation (review) of Phase I activities was planned for in the project design and was put into the URI contract as a requirement prior to the extension of the Contract beyond 15 months. Project planning called for the participation of representatives of URI, IUA, the RGA and AID in the evaluation. The purpose of the evaluation was twofold: (1) To assess the initial 12 months of project activity so that accomplishments and problems could be identified and (2) to provide an opportunity for making changes, if required, in the project design (inputs/outputs/purpose) which would result in an increased probability that the project goal would be achieved.

The evaluation was conducted in the Azores between January 12th and 24th of 1979. Participants are listed below:

- U R I - D. McCreight and J. Sainsbury, Project Co-Leaders; W. Ferrante, Vice-President, URI; T. Estes, Assistant Director, International Center for Marine Resource Development.
- I U A - J. Enes, Rector; Young do Amaral, Academic Administrator, Agricultural Programs; A. Martins, Financial Administrator; F. Machado, Head, Oceanography and Fisheries Department; F. Carmo, Head, Sociology Department.

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- A. Carvão, Official Delegate of the Secretary of Agriculture and Fisheries; L. Arnas, Chief of Veterinary Services; T. Oliveira and F. Barberia, Official Delegates of the Regional Department of Planning and Studies (DREPA).
- R G A
- J. Tavares, Liaison Officer.
- AID/  
AZORES
- R. Chamberlain, General Development Officer.
- AID/  
LISBON
- M. Lukomski, NE/TECH/HRST.
- AID/  
WASHINGTON

The evaluation group undertook the following activities: (1) review of original project documents, (2) review of URI draft Annual Reports and Summaries of Accomplishments and Recommendations, (3) review of consultant reports, (4) on sight inspection of IUA and RGA facilities and programs on the islands of Faial, Pico, Terceira and São Miguel and (5) consultations with IUA administrators and staff, URI administrators and consultants, staff members of the RGA Agriculture and Fisheries Services and staff members of the Regional Department of Studies and Planning (DREPA).

As a result of the evaluation, project design, as well as Phase II implementation plans and budgets, have been modified.

#### EXTERNAL FACTORS

When the Azores Agriculture and Fisheries Development Project was originally planned and approved, and the URI Contract signed, both the RGA and IUA were in their early developmental stages. The Regional Board of the Azores was created by the Portuguese Central Government in August, 1975, as an intermediate instrument in the process of decentralization. Elections for the Regional Assembly were held in June of 1976. One of the early actions of the Regional Board was to create the Instituto Universitário dos Açores (IUA). During this period the extent of services to be provided by the RGA and exact functions of IUA were not clearly established. Understandably, project planning was not as complete and detailed as it might have been under different conditions.

Given the passage of time, one year of project activity, recent organizational changes in the RGA and the evaluation process itself, the general context within which the project must operate has now been more clearly defined. All relevant issues have not been resolved, nevertheless, some basic directions have been established. IUA's role will be to provide the necessary training for the RGA's extension services.

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It has been decided that, contrary to original understandings, it is the RGA and not IUA which will have the primary responsibility for developing and conducting rural extension activities. The Central Government has for many years operated agricultural field stations on various of the islands. The RGA is now anxious to expand the activities of the stations to include rural extension. Thus, an existing structure will be modified, rather than a new one created. In terms of more certain and rapid achievement of the project goal, this appears to be a proper decision. The RGA desires to begin extension activities as soon as practical. At the same time URI is contributing to the creation of an extensionist training capability within IUA, existing RGA staff will receive training in extension methodologies and techniques. Some of the first extensionists trained jointly by URI and IUA will be drawn from the ranks of the RGA.

IUA will also collaborate with the RGA and support its extension activities through programs of applied research. These are specified in more detail in the following sections:

Note: As project design has been modified, the usual Project Evaluation Summary (PES) format has been modified. Ordering in the next sections is now Goal, Purpose, Outputs and Inputs.

#### PROJECT GOAL

"Increase the productivity of agriculture and fisheries; increase the incomes and improve the living conditions of the rural poor".

The original long-run project goal as quoted above is valid and requires no modification. If project purpose (as modified) is achieved and End of Project Status is as planned, it can be expected that some of the conditions necessary to the eventual achievement of the project goal will be established. The RGA will provide extension services to the rural poor and IUA will directly support these services through its programs of applied research and training.

As effective extension services are developed, the potential for increased production and thus increased incomes for the rural poor will be created. The degree to which this potential is realized will depend in part on other actions taken by the RGA: Higher levels of agriculture and fisheries production can be maintained in the long-run only if the effective demand for such products is increased. RGA demand side interventions may be required.

#### PROJECT PURPOSE

As a result of recent decisions and understandings reached during the evaluation, the project purpose should be

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modified to read as follows:

Establish new IUA capabilities or upgrade and expand existing IUA capabilities to become a primary source of technical training, extensionist training, and applied research in agriculture and fisheries.

It is expected that at the end of the project IUA will have:

1. Upgraded and expanded its teaching and applied research programs in agriculture;
2. Initiated a program of applied fisheries research;
3. Initiated a program for extensionist training;
4. Conducted a rural sector socio-cultural assessment; and
5. Developed plans and purchased initial equipment for its Food Technology program.

During the evaluation the following priority areas in agriculture were established: Soils; Animal Nutrition/Forage Crops; Agricultural Economics/Farm Management and Marketing; and Horticulture/Greenhouse Production. These areas were given priority status for several reasons: First, they promise to derive maximum benefit from URI inputs in that corresponding IUA inputs (counterpart staff, facilities, equipment, etc.) are either now available or their acquisition planned for the near future; Second, their development is necessary to support RGA extension activities; and finally, they do not duplicate existing RGA capabilities.

During the first 12 months of project implementation, some measurable progress has been made toward the achievement of project purpose.

AGRICULTURE: Content of Soils courses modified and Soils Teaching Laboratory in operation; content of Animal Nutrition Courses modified; Horticulture test plots in operation.

FISHERIES: Data collection for stock assessment and economic studies being collected and processed.

SOCIO-CULTURAL RESEARCH: Research instruments designed and tested, sample established, and instruments applied in two villages on São Miguel.

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Both the Extensionist Training and Food Technology areas have received URI inputs. These have not yet resulted in progress at the purpose level.

The modified project purpose stated above is consistent with the project goal. Given planned project activities there is a reasonable expectation that project purpose will be achieved within the original time frame of the project. The establishment of well defined and successfully operating IUA programs in the 5 designated areas will take more time than the 18 months remaining under the URI contract. A good start can be made in each area, but further assistance will be required beyond that being financed under this project. To this end URI is seeking financing, perhaps through BIFAD, for a longer-term continuing relationship with IUA.

BENEFICIARIES:

The Azores consists of nine islands with a total area of 2,344 Km<sup>2</sup>. The largest and most developed island is São Miguel. It and St. Maria are the southernmost islands. The islands of Faial, Pico, São Jorge, Terceira and Graciosa lie some 50 miles to the northeast. The remaining two small islands, Flores and Corvo, lie another 100 miles to the northeast. The islands are very different in terms of population and land area as well as economic and social development.

The present population is estimated at about 260,000, about the same as it was 100 years ago. Between 1960 and 1975 about 113,000 Azoreans have emigrated. Over 50% of the working population is involved in primary sector activities. Over 93% of these are involved in agriculture. Fishing is limited in scope and volume. Farms are generally small and fragmented. It is estimated and 60% of all family farms need outside income for family support.

The direct beneficiaries of this project in the short-run will be the faculty and staff of IUA and the staff of the RGA. As IUA and RGA programs and extension services develop, the rural poor will benefit. It is reasonable to expect that any real long-term impact on the living conditions of the rural poor will not be felt for at least 5 or 10 years. The project, however, does take the first steps in the desired direction.

UNPLANNED EFFECTS - None to date.

LESSONS LEARNED - Mission believes it is too early in the life of the project to reach significant conclusions. However, it seemed apparent that the Contractor was overly optimistic in its expectations of what IUA would be able to accomplish during the first year of project implementation.

ATTACHMENTS:

Annual Report, January 12, 1978 - January 24, 1979, submitted by University of Rhode Island - (Contract No. AID/NE-C-1477).

March 20, 1979.