

MID-TERM EVALUATION
OF THE
PVO CO-FINANCING II PROJECT
(493-0342)

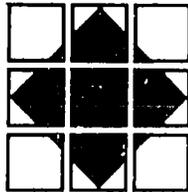
Conducted by:

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Submitted to:

USAID/Thailand
U.S. Agency for International Development

June 15, 1987



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By:

The Pragma Corporation
116 East Broad Street
Falls Church, Virginia 22046

June 15, 1987

PREFACE

This report is based on the findings of an evaluation team which assessed the Co-Financing II Project of USAID/Thailand from May 8 through 29, 1987. The team consisted of Dr. Louise G. White, team leader; Bernard Salvo; and Maniemai Thongyou. Dr. White and Mr. Salvo were provided under an AID contract with the Pragma Corporation. Ms. Thongyou is a PVO consultant to USAID/Thailand. The team worked under the technical direction of the Chief, Project Support Division, Office of Project Development and Support, and his staff.

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We are particularly grateful to the Project Support Division for accommodating us on very short notice. The two U.S. members of the team arrived in Bangkok on May 8, 1987, the first day of a four-day holiday weekend, with little forewarning. Mr. Willy Baum, Chief of the Project Support Division was good enough to bring PVO Co-Financing II Project files to our hotel to start us on our task. For this extra effort we are grateful. Mr. Baum and his very competent staff did an admirable job in arranging our schedule, cooperating fully in making required information available and accompanying us on our visits to project sites in the Southern, Northeastern and Northern regions of Thailand, to view projects currently being implemented. Their assistance greatly facilitated the evaluation, and we gained many important insights from them in our informal conversations.

We also extend our sincere and heartfelt appreciation to other USAID personnel, PVO staffs, government officials, subproject participants, university faculty members, and the many others who gave of their time and assisted us in one way or another. We appreciated the opportunity to get first-hand information and to visit so many innovative and admirable activities. The interest of these individuals in our work and their hospitality will not be forgotten. Most of their names are listed in Appendix 3.

We wish to make special mention of Ms. Maniemai Thongyou, the Thai member of the team, who is very knowledgeable about the PVO community in Thailand, and was very thoughtful in bringing a Thai perspective to all aspects of the evaluation. This has made our observations more credible than they otherwise might have been.

I. EXECUTIVE SUMMARY

1. Purpose of Project. The project is designed to promote the activities of private voluntary organizations (PVOs) that address the needs of socially and economically disadvantaged groups in Thailand. In addition to funding specific subprojects proposed by PVOs, the project promotes technical assistance and training activities to develop the institutional capacity of PVOs, and to encourage indigenous PVOs to participate in development activities. These activities fit within the overall Mission purpose of developing Thai institutions with which AID can develop long-term collaborative relationships, and which address the self-help needs of the socially and economically disadvantaged.

2. Purpose and Methodology of Evaluation. This is a mid-term evaluation of a five-year project. Its purpose is to review USAID's implementation procedures and institution-strengthening activities, and offer recommendations about changes to be made during the last two years of the project. Data on subprojects were collected through review of documents, interviews with USAID project staff, and site visits. The team also interviewed other PVOs and donors to learn about the potential of PVOs in Thailand.

3. Findings and Conclusions. PVOs have a comparative advantage in promoting development, and in reaching socially and economically disadvantaged groups, and the project is playing a significant and positive role in assisting them. While much of the PVO community in Thailand is still oriented to welfare rather than development, there is a growing number of development-oriented PVOs. Initially the project emphasized USPVOs but gradually has expanded to include indigenous PVOs (IPVOs) committed to development activities. While a small minority of Co-Fi II subproject grants have gone to IPVOs, ten of the thirteen concept papers received this fiscal year were from IPVOs, and seven are being considered for funding. This emphasis on IPVOs will become even more important as the country moves towards a middle-income status and AID attempts to develop a more collaborative relationship with Thai institutions.

The project has also expanded the kinds of IPVOs with which it works. Originally, most represented the more prestigious organizations with headquarters in Bangkok, and sometimes with regional extensions in the rural areas. More recently the project has begun to seek out and provide grants to less well known, action-oriented organizations, many of which have strong regional and local grass roots support and considerable potential for promoting sustainable development in the poorer regions of the country.

The project has also emphasized activities to strengthen the institutional capacity of IPVOs. This emphasis is particularly important as the project expands contacts with IPVOs, many of which lack the types of organizational skills and experience generally desired by USAID. IPVOs are assisted in a number of

ways. First, some are gaining experience simply by administering subprojects. Second, the project provides the services of a consultant who offers technical assistance to PVOs, particularly the smaller IPVOs, and is seeking out innovative organizations which may be unaware of USAID's efforts. Third, some IPVOs are being assisted by USPVOs which often rely on them to carry out subprojects. These institution-building efforts have been tailored to the specific tasks of the IPVOs and have greatly improved their capacity to design and implement subprojects.

Training events sponsored by the project have been less successful. The two sets of training workshops took a fairly formal, academic approach and focused on USAID requirements for designing and managing projects. The smaller development-oriented IPVOs, in particular, felt that such an approach serves the interests of donors rather than their own long-term institutional needs. Nevertheless, training workshops can be a cost-effective way to reach a broader set of IPVOs than those receiving USAID grants, and if they are redesigned around more substantive issues, materials development, information dissemination, they can be an important component of institution-strengthening. There are in fact, a number of groups with interest and experience in assisting PVOs, and USAID could improve its training and workshops by collaborating with and encouraging their efforts.

The twelve currently funded subprojects (ten under Co-Fi II and two OPG subprojects) are all reasonably effective and are directed toward the socially and economically disadvantaged. Moreover, most are being carried out in the poorer regions of the country, often with handicapped groups or minorities. Most of them sponsor activities to develop the capacity of individuals, including the disabled, to function more effectively. A smaller number encourages participation by beneficiaries or community groups in the subprojects. Some of the subprojects try to build or strengthen local institutions in a community, and these appear most apt to bring about sustainable benefits. A small but significant number of PVOs work closely with government agencies, at the Ministry, provincial and district levels. Staff feel this strategy enables them to promote positive change within agencies and local governments, thus enhancing sustainability.

The evaluation of Co-Fi I recommended that USAID improve its procedures for administering the project and USAID responded with a number of positive procedural changes. USAID should continue these efforts and further simplify procedures, particularly to be more responsive to the needs of less experienced IPVOs. Some procedures reflect demands from the RTG, and can only be addressed when a new project is designed. Others, such as clarifying the criteria for selecting subprojects, are changes that USAID can implement now.

4. Recommendations

A. USAID should continue assisting PVOs in general and smaller, rural-based, development-oriented IPVOs in particular.

B. Since USPVOs have been an important resource for strengthening IPVOs, USAID should encourage USPVOs to play a supportive role, in which they work with and assist IPVOs rather than carry out projects directly. USAID should convene USPVOs as a group and involve them in policy discussions about PVOs.

C. USAID should clarify its criteria for subprojects and ensure that a significant number are addressed to the rural poor. The criteria should deal not only with substantive areas of concern to AID, but also with approaches to these concerns. The criteria should encourage subprojects that involve participation by groups of beneficiaries, and that emphasize building local community institutions to ensure sustainability.

D. USAID should continue to emphasize technical assistance to IPVOs. Institution development funds for additional assistance on data gathering and evaluation should be made available to particular IPVOs upon the recommendation of the consultant.

E. USAID should rethink its training approach to deal with more substantive development issues, to stimulate the thinking of PVOs, to expand their organizational skills, and to disseminate the results of subproject activities. For example, it could use training funds to support workshops that bring together PVOs doing work in similar areas, such as drug programs, micro enterprises, or work with the hill tribes. The purposes would be to compare experiences, promote collaboration, and develop some conclusions about alternative strategies.

F. In designing training and workshops, USAID should collaborate with and use the resources of other organizations working with PVOs. It should begin by surveying potential resources and current training activities, including the work of training institutes, USPVOs, IPVOs, other donors and universities. It should then collaborate with them to develop a training strategy that meets the following criteria: works through indigenous institutions, has a regional focus and a strong grass roots thrust, provides training to PVOs whether or not they are receiving USAID funding, includes a facilitative role for USPVOs, and develops simpler training materials.

G. USAID should continue to modify and simplify its procedures to address the special needs of smaller development-oriented IPVOs. Recommended changes include shortening the time frame for project approval, developing simpler guidelines and a handbook on AID policy, translating material into Thai, and allowing IPVOs to submit their reports in Thai, or budget for translation services.

II. BASIC PROJECT IDENTIFICATION DATA

1. Thailand
2. PVO Co-Financing II Project
3. 493-0342 (Grant)
4. Project Dates:
 - First Project Agreement, Oct. 1, 1984
 - Final Obligation, FY 1989
 - PACD, Sept. 30, 1992
5. Project Funding:
 - AID, \$5,000,000
 - PVOs, \$1,100,000 (in-cash or in-kind)
 - TOTAL \$6,100,000
6. Mode of Implementation: PVO Co-Financing to registered U.S. and Thai PVOs (103, 104, 105, 106 of the Foreign Assistance Act of 1961).
7. Project Design: USAID/Thailand
8. Responsible Mission Officials
 - Mission Director: Dr. John Eriksson
 - Project Officer: Willy Baum, Chief Project Support Division
9. Previous Evaluation, Evaluation of Co-Fi I, Summer 1983
10. Cost of Present mid-term evaluation, \$29,448

III. INTRODUCTION

A. Purpose of Evaluation

The basic purpose of the evaluation is to complete a mid-term assessment of the Co-Financing II Project, to review the work undertaken in the first two and a half years of the project, to determine if the activities are meeting project goals, and recommend whether the Mission should consider any shift in emphasis during the remaining life of the project. The Scope of Work (Appendix 1) identified three broad areas to be emphasized in the evaluation: (1) the extent to which the Co-Fi II project is meeting the stated goal of "addressing the self-development needs of socially disadvantaged groups;" (2) the results of the project's emphasis on building the institutional capacity of PVOs; and (3) the effectiveness of the procedures that USAID has developed to implement the project.

B. Approach of the Evaluation

In light of the above purposes, the evaluation focuses on USAID policy towards and involvement with PVO programming in Thailand rather than on the merits of specific subprojects. In addition, it addresses the broader potential that PVOs can play in development. We reviewed all of the subprojects funded under Co-Fi II and visited those with project sites. We also visited two completed Co-Fi I subprojects to get a sense of the long-term impacts of such activities. We reviewed thirteen concept papers that PVOs have turned in for future funding and visited two of the applicants to gain some insight into future directions of the project. We visited several IPVOs not related to USAID activities to gain a broader sense of the status and potential of the IPVO community within Thailand. We interviewed people in a number of institutions such as universities and training institutes to assess potential resources to assist the IPVOs. We met with a number of government officials concerned with PVO activities to understand RTG policies and practices. (Appendix 3 lists persons interviewed and Appendix 4 lists PVOs and subprojects visited.)

C. Evaluation Methodology

The two U.S. members of the team spent two days in Washington interviewing staff in the Bureau for Asia and Near East, and representatives of the USPVOs involved in Co-Fi II subprojects. After arriving in Bangkok, they were joined by the third team member, and were briefed by the Project Support Division (PSD) staff. The team then spent a week in Bangkok reviewing files and interviewing relevant individuals. The files dealt with individual subprojects and institution-building activities. We also reviewed RTG documents, particularly the Sixth National Economic and Social Development Plan and the memo of understanding between USAID and the Department of Technical and Economic Cooperation (DTEC). The interviews were conducted

with central office staff of PVOs, RTG officials, and the staff of a proposed project site, Klong Toey.

On the basis of these experiences, and with a conscious effort to build on the approach used in the evaluation of Co-Fi I, we compiled a series of topics to cover on our visits to subprojects:

- Design of the subproject
- Implementation experience
- Monitoring, reporting and evaluating activities
- Impact of the subprojects on beneficiaries
- Institution building and technical assistance to staff
- Sustainability and replicability
- Relations with RTG units and/or other organizations

Eight days were then spent in the field visiting subprojects and other organizations. We spent two days in the South, four days in the Northeast, and two days in the North. Team members divided up the subprojects, each taking major responsibility for reviewing the files on four subprojects, briefing the other members of the team, and taking charge of the site visits. All three team members visited all of the projects and participated in interviews. The Thai national made a particular effort to speak to beneficiaries and Thai speaking project staff, and to bring a Thai perspective to the evaluation. (Appendix 4 contains the schedule of team activities.) This schedule left the team less than a week to review and analyze the findings and prepare its report. Teams always feel that they need more time, but we felt that the breadth of our mandate warranted another week for following up on interviews, assessing alternative resources within Thailand, and analyzing our findings.

IV. PROJECT CONTEXT

A. Country Context and Development Issues

Thailand has experienced extensive development over the past decades and is considered by AID in its Country Development Strategy Statement (CDSS) for FY 1987 to be approaching middle-income status. Under the first five Five Year National Economic Plans (1961-1986) Thailand enjoyed unprecedented growth and development. The economy grew at an average real rate of over 7 percent per annum. As a result, the GDP is now \$40 billion and the GNP per capita is \$790. The basis for this growth has been diversified small-farm agricultural production. While its contribution is diminishing relative to other sectors, agriculture is the source of about 60 percent of all export earnings, is responsible for 21 percent of GDP, and is the primary occupation of 70 - 75 percent of all Thais. The CDSS for FY 1987 projects that employment generation will be the most significant issue in the 1980s, that the growing work force will confront slower growth rates, and that as farm mechanization increases, on-farm employment will decline.

This rapid growth and the changes in the agricultural sector have produced major equity problems in the society. Poverty is particularly concentrated in rural areas with infertile land, low rainfall, and little access to markets or jobs. For example, in 1981 per capita income in the rural Northeast was \$252 compared to almost \$1,888 for Thais in the Bangkok metropolitan area. In addition, much of the rural population remains unreached by government social services; for example, only 26 percent of the rural population has access to government health services. While one third of the population resides in the Northeast, it accounts for 56 percent of the poverty. The North is the second poorest region and accounts for 25 percent of the poverty. The South contains pockets of poverty and experiences special problems related to the minority Moslem population. It is also important to remember that there remain pockets of poverty within the Bangkok area.

B. RTG Response

The Fifth Plan (1982-1986) and the recently announced Sixth Plan (1987-1991) recognize these problems and commit the government to create opportunities for the majority of people in backward areas. The Sixth Plan emphasizes rural and community development strategies, decentralization of some responsibilities to local areas, and income generation activities, particularly non-farming opportunities in rural areas. The Sixth Plan also continues a commitment by the Thai government to rely on private sector organizations, including organizations in the voluntary sector. Historically, fears of communist infiltration in the more remote villages and hills led the government to be wary of grass roots organizations. The Sixth Plan, however, specifically states that "private organizations . . . participate in the prevention and in finding solutions to social problems." Government policy still seems to be in transition on this subject and, as yet, there have been no policy guidelines on the coordination with and integration of PVOs at the implementation level. A frequently proposed Government-PVO (GO-PVO) Task Force has yet to be firmly established. In the meantime the central government often finds it easier to work directly with some of the larger IPVOs such as PDA, rather than the smaller development-oriented groups. In rural areas one is more apt to find informal cooperation between local officials, technicians and smaller IPVOs, although the team found that there continues to be mutual suspicion and distrust between the government and IPVOs.

C. PVOs in Thailand

Although Thailand does not enjoy the same variety and number of IPVOs that are in neighboring countries such as Indonesia and the Philippines, there is a strong tradition of voluntary service rooted in the Buddhist tradition. The term "PVO" itself is ambiguous, and is often used to refer broadly to all associations

and foundations, including a large number of charity and relief organizations.

While precise figures are hard to come by, there is a consensus that the number of PVOs focused on development as opposed to charity are increasing. The Directory of Development NGOs in Thailand published in 1984 by the Thai Volunteer Service lists a total of 113 PVOs concerned with development, including both international PVOs and IPVOs. Of this number 41 percent are registered with the Thai government. The Project Paper for Co-Fi II estimates 100 IPVOs involved in development. Many of these are action-oriented organizations, with committed leadership, and a willingness to be innovative. A growing number are located outside of the metropolitan Bangkok area and have strong regional identities. While some lack organizational skills and trained personnel, a number are led by people with a rural background, who have since become highly educated, and wish to apply their professional training and experience to rural problems.

Various attempts have been made to establish a coordination mechanism among PVOs and with the RTG. In preparation for the Sixth Plan, the National Economic and Social Development Board (NESDB) requested the PVOs to establish a coordinating body with which the government could work, and which could elect representatives to the proposed GO-PVO Task Force. In January 1986, a group of PVOs established the NGO Coordinating Committee on Rural Development (NGO-CORD). Currently there are 188 members, including both development and social welfare organizations, and international and indigenous PVOs. There are also five regional coordinating bodies which elect representatives to the national NGO-CORD committee. (The nineteen board members include two from the North, four from the Northeast, three from the South, one from the Central region and nine from Bangkok.) The regional bodies stress actual development activities, while the national body has focused on developing a strategy for coordinating with the government. The committee is still trying to develop a viable structure that can handle the different orientations among its members. Currently NGO-CORD has a three-year grant of \$120,000 from the Local Development Assistance Program (LDAP) of CIDA to perform services for its members.

D. AID Policies

Consistent with RTG policies, AID policy has taken a leading role in emphasizing development activities that enhance the self-help capacities of the disadvantaged and that support the role of PVOs. The CDSS for FY 1987 emphasized the need to promote the "productive, equitable, and sustainable development of Thailand's rural resources." AID policy also assumes that Thailand is moving towards a middle-income status and that AID should therefore develop a more collaborative relationship with Thai institutions. The CDSS for FY 1987 specifically includes PVOs among the institutions with which AID should develop collaborative relations. It commits AID to "greater use of non-

governmental organizations to complement and/or substitute for government services and to increase the participation of local groups in the development process."

Since 1976, AID has funded three projects that rely on PVOs to design and carry out development activities. From FY 1976 through FY 1979, the USAID Asia Regional Project, (Private Voluntary Organizations, 498-0251) funded eighteen subprojects (OPGs) carried out by PVOs in Thailand. A total of \$2,281,252 was awarded.

From FY 1980 through FY 1984 USAID/T set aside \$5 million to support the PVO Co-Financing Project (493-0296), now referred to as Co-Fi I. Its purpose was to "improve local-level development efforts . . . by promoting PVO development activities which are consistent with and in support of AID strategies" (Project Paper, 1979). The effect of this project was to allow decisions to be made about subprojects at the Mission level, thus giving more flexibility to the Mission, and enabling it to be more responsive to and supportive of PVOs. Twenty-one subprojects were funded in the course of the five years. (Appendix 7 contains a complete list of subprojects funded under OPG, Co-Fi I and II.)

Co-Fi I was judged to be very successful, and a follow-on project was designed. PVO Co-Financing II (493-0342), also obligates \$5 million of U.S. funds to support PVOs in promoting development activities in Thailand over a five-year period (1985-1989). The subprojects are to be co-financed with a minimum of 25 percent in PVO contributions in cash or in-kind services. As of May 1987, ten subprojects had received grants, and \$2,262,000 of the funds have been obligated. The present evaluation constitutes the prescribed mid-term evaluation of Co-Fi II.

V. PROJECT PURPOSES

Co-Fi II "addresses the stated goals of the Royal Thai Government (RTG) to improve the lives of socio-economically disadvantaged persons and to increase their capacity to participate in their own development." The Project Paper defines the disadvantaged as "those groups of individuals who lead economic lives ranked within the poorest 30 percent by income of Thai society or who have unequal access to resources needed to improve their lives" To meet this broad goal, the purpose of Co-Fi II "is to promote PVO activities, including those of indigenous PVOs (IPVOs), that address the self-help needs of socio-economically disadvantaged groups." This emphasis on IPVOs is part of the broader effort to encourage "self-development" and to "strengthen local resources and encourage local participation in the development process occurring in Thailand."

In designing a project to accomplish this purpose, the Project Paper for Co-Fi II did an admirable job of addressing the several problems raised by the evaluation of Co-Fi I (Appendix 8 contains the Executive Summary of the Co-Fi I Evaluation). Its responses fall into three broad areas: increasing the role of IPVOs, enhancing the institutional capacity of PVOs, and improving the procedures USAID employs to implement the project.

Co-Fi II specifically proposes an increase in the role of IPVOs in administering subprojects. According to the FY 1987 CDSS, AID assumes that USPVOs will initially get most of the funds designated for PVOs, but that "AID financing will increasingly shift to indigenous PVOs." Since only two IPVOs received grants under Co-Fi I, the evaluators concluded that IPVOs had not been well represented among grant administrators. The Project Paper for Co-Fi II responded by stating that preference will be given to proposals from IPVOs or ones "that strengthen institutional capacities of local entities or groups." It specified that 40 percent of the grants should involve IPVOs.

This emphasis on IPVOs is very appropriate given the broader policy goals of AID and in light of the growing number of development-oriented IPVOs. In some respects, the PVO community is still dominated by traditional organizations committed to a welfare approach rather than development, but the number of development-oriented IPVOs is increasing, and USAID policy wisely attempts to encourage this trend. This emphasis on strengthening development-oriented IPVOs will become even more important as the country moves towards a middle-income status and AID attempts to develop a more collaborative relationship with Thai institutions, rather than an exclusively donor/grantee relationship. A policy of support for IPVOs, however, should not be stated to exclude USPVOs. As we note in the following section, many grants awarded to USPVOs were implemented with or through indigenous organizations, including IPVOs. USAID, therefore, should

encourage USPVOs to continue to play a role, but change to a more facilitative rather than a purely operational role.

Second, the evaluation of Co-Fi I stresses that while the subprojects were generally effective in accomplishing the goals of the project, subproject designs were often weak, progress reports were often missing, and evaluation strategies were usually inadequate. As a result, Co-Fi II set aside \$600,000 of the \$5 million project grant for institution-building activities. Such activities include technical assistance, training, consultancies, workshops, and conferences. The emphasis on capacity building reinforced the broad commitment to use project resources to strengthen PVO management capacities and institutions, particularly the capacity of IPVOs. It was also hoped that by increasing the capacity of the PVOs themselves, less USAID staff time would be required during implementation.

Third, the evaluation of Co-Fi I noted that some of the procedures used by USAID in managing the grant were unclear or inadequate. Co-Fi II, therefore, was designed to clarify USAID procedures for managing the project. It clarified and simplified the selection criteria, and asked project staff to shorten the time for approving project proposals. The Project Paper, and the management processes established by the Project Support Division (PSD), have attempted to improve the processes of selecting proposals and monitoring progress. The evaluation team, in fact, found that PSD has continued to review and improve its procedures in light of its ongoing experiences and that a number of very positive changes have been made during the the first two and a half years.

To determine whether the project has met these purposes, this evaluation has organized its findings in three broad areas:

- o Project Implementation (Part VI) looks at the characteristics and effectiveness of the subprojects.
- o Project Management Procedures (Part VII) looks at the ways in which USAID has managed the project.
- o Institution-building activities (Part VIII) looks at the efforts USAID has made to strengthen PVO institutions, and examines how effective they have been.

The final section (Part IX) contains the team's findings, conclusions and recommendations.

VI. PROJECT IMPLEMENTATION

This section examines the effectiveness of the subprojects using criteria taken from the Project Paper. Some of these criteria were also included in the evaluation of Co-Fi I. The criteria include: support for IPVOs, reach the poorest, encourage self-help capacities through participation, and promote sustainable activities. We will use them to review the ten subprojects financed to date under Co-Fi II and the two subprojects funded from AID/W general funds and administered by Co-Fi II procedures. Where appropriate, the analysis compares these twelve subprojects, with those funded under prior USAID programs, and with subprojects proposed in concept papers.

A. Support for IPVOs

The Project Paper states that "at least 40% of project funds [should be] administered directly by Thai PVOs collaborating with local counterparts." Table 1 provides a comparative overview of subprojects in the several projects compared and indicates the number of grants given to IPVOs.

Table 1
Characteristics of Subprojects, 1976-1986

	Number of Subprojects	Average Amount of AID Grant	Subprojects Administered by IPVOs
<u>Subproject Grants</u>			
OPG, '76-'79	22	\$174,598	3
Co-Fi I, '80-'84	21	\$206,438	2
Co-Fi II, '85-'86	10	\$206,200	3
OPG, '85-'86	2	\$ 51,038	1
<u>Concept Papers</u>			
Co-Fi II, '87	11	\$230,026	10
OPG, '87	2	\$ 79,000	0

According to the table, the vast majority of grants from 1976 through 1986 have gone to USPVOs. This emphasis is likely to shift in the future, however, since there is a marked increase in the number of concept papers submitted by IPVOs for funding in 1987. It is difficult to point to a single reason for this increase, but the greater emphasis on technical assistance to

IPVOs probably has an impact. There probably will be more proposals from USPVOs next year, and USAID expects to continue providing grants to USPVOs, even as they increase the number going to IPVOs. (Of four concept papers submitted by USPVOs, one is being adopted as an amendment to an existing grant, one was rejected, one will likely be funded, and one is being resubmitted by an IPVO with the support of the USPVO.)

A related question is what proportion of the funds went to IPVOs. Looking just at the ten Co-Fi II subproject grants, 75 percent of the funding went to USPVOs (\$1,541,300 out of \$2,062,000). Thus the project has fallen short of the objective that 40 percent of the proposed funds should be administered by IPVOs. However, it is likely that the higher proportion of concept papers from IPVOs will allow it to meet this target.

Figures about grant recipients, however, tell only part of the story about the role of IPVOs. In most cases USPVOs are administering their subprojects through a counterpart unit within Thailand. Table 2 indicates that USPVOs often work through IPVOs. For example, several subprojects to benefit disabled groups are designed to assist organizations of the blind or handicapped to function more effectively.

Table 2
Administration of Subprojects by USPVOs: Direct or by
In-country Counterparts

	<u>Subprojects Administered</u>		<u>In-country Counterpart:</u>				
	Total	USPVOs	<u>Directly</u>	IPVO	RTG	Univ.	Other
OPG, '76-'79	22	19 (86%)	3	5	4	2	5
Co-Fi I, '80-'84	21	19 (90%)	1	5	2	3	7
Co-Fi II, '85-'89	10	7 (70%)		1	4		2
OPG, '85-'86	2	2 (100%)	1			1	
Concept papers							
Co-Fi II, '87	13	3 (27%)		2	1		
2							
OPG, '87	2	2 (100%)	1		1		

Based on the figures in Table 2, it is possible to conclude that 40 percent of Co-Fi II funds are currently administered by IPVOs. The table also suggests that USPVOs are playing an important role in assisting IPVOs and thereby in strengthening

than an operational role. USAID could encourage them to move in this direction, and could bring them together to discuss PVO policy and procedures.

A related issue concerns the type of IPVOs that the project is funding. The three IPVOs funded to date under Co-Fi II are based in Bangkok and are fairly well established. For the most part, their subproject activities are implemented in the regions outside of Bangkok. Examples include a project guaranteeing loans to women entrepreneurs and a leadership training project among the hill tribes. IPVOs submitting concept papers for 1987-1988 include both Bangkok-based organizations and several IPVOs with strong grass roots bases in poorer regions of the country. This greater variety has two virtues. First, it increases the ability of the project to reach the poorest on a sustained basis. Second, it addresses the perception (perhaps an unfair one) among some of the rural-based IPVOs that the Bangkok-based IPVOs are not as well suited as the rural-based to address the needs of the poorest.

This same trend towards a greater variety of IPVOs, including ones with strong rural bases, is also evident in the list of IPVOs registered with USAID. (See Appendix 6). Among the fifteen IPVOs currently registered, only three have relatively strong organizational bases in the rural areas. Among the eight IPVOs in the process of registering, however, five have a demonstrated record of strong community action in rural areas.

B. Reach the Poorest

The Project Paper states that subprojects should address the needs of the poorest third among the population. We were not able to document precise income levels or percentages, but the overall impression is that the subprojects are designed for the poorest. One way to state this is to note which areas of the country the subprojects are serving. Seven of the ten Co-Fi II subprojects are directed to beneficiaries in the poorest regions. Of these, two are for very poor rural villages; one is for the hill tribes, among the poorest groups in the country; one is for children in a very poor Moslem community; one provides loans to women entrepreneurs who in turn hire poorer women. Three of the subprojects are designed for beneficiaries nationwide, but these are the deaf or blind and are very likely among the poorer members of the society. (Appendices 16 and 17 contain maps of Thailand that indicate the location of the subprojects and the income characteristics of different regions.)

C. Encourage Self-Help Activities

The subprojects encourage self-help in two different ways. A large number enhance the skills and capacities of individuals, often through training or education. Examples include a Sign Language Dictionary to enhance the skills of the deaf, vocational skills programs for Moslem schools, and for young women in the

Northeast, leadership training for hill tribe youth, and loans to women entrepreneurs. Such projects are developmental in the sense of increasing the skills and capacities of individuals, and will likely have an effect over the long run, although it is difficult to measure their impact in the short run.

A smaller number of subprojects emphasize self-help in the form of participation among groups or within communities. Two of the Co-Fi II subprojects and one of the OPG '85-'86 subprojects are directed towards communities and are designed to involve them in designing and implementing the subproject. Two are promoting income-generating activities in rural villages, and one brought together rural women villagers from the same community for leadership training. The Kho Wang Rural Development subproject is interesting because it tries to promote additional income earning opportunities for poor farmers, but does so by mobilizing community efforts rather than individual skill training.

Since both approaches (enhancing individual capacity and encouraging community self-help) are valuable and fit within the guideline of providing developmental assistance, there is no warrant for adopting one of these approaches to the exclusion of the other. It would be valuable for USAID, however, to state its criteria for selecting subprojects to encourage subprojects representing both approaches. To date most of the concept papers continue to emphasize individual capacity rather than community action or participation. It is possible that the number of community-oriented, self-help subprojects will increase as more funding is directed to smaller, rural-based IPVOs. (An important qualification is that one of the more innovative concept papers proposing a community self-help effort is being proposed by an IPVO located in a large urban slum within Bangkok.)

D. Promote Sustainable Activities

An important criterion being applied to development assistance is the extent to which it promotes activities or benefits that will last or be sustained once donor funding is withdrawn. We will examine three aspects of sustainability: whether the subproject developed or strengthened local institutions to continue the activity; whether it developed alternative resources; and whether it developed linkages with other institutions in the community such as the government. (Appendix 15 presents a Concept Paper on PVO Institutional Development.)

1. Development of local institutions. This characteristic overlaps with, but is broader than, the earlier discussion about the value of mobilizing communities or groups to design and carry out development activities. As noted, a number of the subprojects are mobilizing community groups. For example, the Kho Wang rural development project is attempting to develop producer and processor groups among the farmers. In addition, several of the subprojects that focus on enhancing individual skills are designed to strengthen the capacity of a local

institution to offer those skills. For example, the subproject to introduce vocational skills in Moslem schools attempts to enhance the capacity of these schools to deliver such benefits. Another subproject, designed to assist the disabled on a nationwide basis, is attempting to develop an organization to represent the interests of the disabled. A Co-Fi I project has left in place a very active Food and Nutrition Center which continues to train villagers in preparing local produce.

2. Development of alternative resources. There were only a few instances in which subprojects were designed to explore alternative financial resources for the future. The subproject to promote credit and guarantee loans to women entrepreneurs is trying to leverage loans from other PVOs and to encourage a large bank to increase its loans to poorer women. The subproject to help youth from the hill tribes is trying to build a broad based community support for assistance to the hill tribes. Interviews indicate that there are considerable private resources in Thailand that could be tapped, that few PVOs have done so, and that IPVOs have a greater potential to tap them than foreign PVOs.

3. Development of linkages with other institutions. The older emphasis in the development literature on community development has given way to a new emphasis on the value of developing supporting linkages among communities and organizations. David Korten, in a much cited work (see Appendix 14), has taken this emphasis one step further, and suggests that one of the most significant roles that PVOs can play is to consciously develop such linkages with other institutions, and particularly with the government. By serving as a model and by encouraging governments to take on new activities and change some of their normal bureaucratic practices, PVOs can have impact far beyond their limited resources.

Table 2 indicates that several of the subprojects are designed to work directly with an agency within the RTG, thus potentially enhancing the sustainability of their efforts. For example, Helen Keller International works jointly with the Ministry of Education. CARE administers two of its projects in collaboration with district and sub-district levels of government, and field staff report very positive results. The Non Formal Education Department under the Ministry of Education has proposed that other offices within the Ministry adopt a project previously funded under Co-Fi I, the Southern Thailand Educational Project (STEP).

Further, several USPVOs implement their subprojects by working through universities. For example, The Asia Foundation (TAF) relies on the faculty of the Prince of Songkla University (PSU) to implement a subproject to train women in legal rights and political skills. The Kho Wang rural development project has used the services of a local college to train villagers. "Other" counterparts, such as the Islamic Foundation, include a subproject implemented by private Islamic religious schools.

We conclude from these cases that the subprojects provide examples of each approach to sustainability. On the other hand, subproject proposals and our site visits indicate that few project staff were placing much emphasis on these issues, and that more effort needs to be made to encourage PVOs to consider sustainability issues.

VII. USAID IMPLEMENTATION PROCEDURES

This section describes the administration procedures that USAID has developed to implement Co-Fi II. In general, they respond to the recommendations offered in the earlier evaluation, and show a willingness to review and adjust procedures as problems and needs arise. The discussion is divided according to the series of steps in the implementation process.

A. Registration

Before any PVO (U.S. or Thai) can be considered for assistance, it must be registered with AID and the RTG. AID registration requirements and procedures are prescribed in Handbook 1, Appendix 4c (1). They primarily involve the collection of key documents and other data about the organization and a review of a PVO's management and accounting system. The main purpose of registration is to establish that the PVO is a bonafide organization that possesses the capacity to receive, utilize, and account for AID funds effectively. The registration process for IPVOs is handled primarily by PSD staff with a certified public accounting (CPA) firm, Ernst and Whinney. They are contracted by USAID with some of the funds designated for institution strengthening activities and complete the review of the IPVO's financial and accounting systems. IPVOs that indicate an interest in receiving USAID support are provided with the basic guidelines for registration. (See Appendix 11.) To date, twenty-three IPVOs have applied for registration, and of these fifteen have been approved, and eight are under review. (See Appendix 6.)

In our discussions with several IPVOs which have been registered or are in the process of registering, it appears that there is a general lack of understanding of the requirements and why USAID needs the extensive information it requests. Some seem to resent the intrusion by USAID into their "internal" matters. Others had misgivings about the process initially, but came to see it as helpful, especially when they perceived that it had assisted them in improving their management systems. Some of the misunderstanding could be prevented by expanding the notification letter sent to PVOs to include a better explanation of the purpose of the requested information. An information sheet with clear guidelines in English and Thai should be provided to IPVOs interested in registering. Such a paper also would be useful to the CPA firm. We understand that O/PDS/PSD is in the process of developing needed guidelines for the CPA firm to use in conducting its financial review of the concerned IPVOs.

USAID also requires that IPVOs be registered with the RTG. (The Chief of the U.S. Division of DTEC said that this was a U.S. requirement and not one imposed by RTG.) We spoke with a number of Thai PVOs about RTG registration requirements and, even though some of them are registered, we could not get clear information about the procedures and costs of registration. It appears that there are two categories of IPVOs: foundations and associations. Both must have a charter, a board of directors, and a specific number of members (as few as five was mentioned). Foundations must have about \$8,000 capital in the bank, while no certain amount is required by other associations. Apparently some types of income are tax exempt, while other types are not. In 1985, USAID reported that only three large, influential foundations had been given tax-exempt status. As a result USAID has waived this requirement.

The cost and process of registration are not clear but most people interviewed seem to think that the process was quite involved and offered few advantages. Moreover, registration does not indicate whether groups are active. A review of 113 IPVOs found that one half of them were not registered, but were functioning well and had active programs. Since RTG registration is such an evident constraint to many of the smaller development-oriented IPVOs, USAID should review this issue and consider waiving the requirement or channeling funds to non-registered IPVOs through intermediaries.

B. Subproject Criteria

USAID sends letters to registered PVOs stating criteria for subprojects. For example, a letter sent to PVOs in October 1986 stated, "We will continue to support traditional efforts related to rural development, health, education, institution building and technology transfer, as well as those proposals which focus specifically on disadvantaged groups. In addition, USAID is also interested in the possibility of supporting projects which address narcotics awareness and natural resource management/environmental issues." USAID also has developed a list of criteria for subproject selection. (See Appendix 10.) These include an emphasis on the socio-economically disadvantaged, development rather than relief, and demonstrating a potential for long-term sustainable effects.

Section VI of this evaluation discusses a number of criteria taken from the Project Paper that could also be called to the attention of the PVOs. Such a listing could provide a checklist of different dimensions that PVOs should consider in designing subprojects. These could include the substantive areas described in the guidelines and letters, and also request descriptions of the approach they will take, how they will encourage self-help, whether they will be developing or strengthening institutions, and how they will ensure sustainability. The evaluation of Co-Fi I also suggested that criteria be developed along several dimensions. They listed target constituencies, project

approaches, project goals, project context, PVO track record, financial soundness, and reasonableness of time frame. Such elaborations should assist the PVOs in thinking about the various dimensions of subprojects.

C. Subproject Approval Process

USAID has responded to the recommendation in the evaluation of Co-Fi I to improve and simplify its procedures. USAID should be applauded for the quality of the Project Paper and for the innovations and improvements that have been implemented in the past three years.

In general, the following steps are followed in processing proposals from registered PVOs, each step taken only when the prior one has been successfully completed. The amount of time allowed for each step is indicated in parentheses.

- ... The PVO may ask for informal discussions with the Project Support Division (PSD) about the eligibility of a proposed activity. (2-3 hours)
- ... USAID gives the PVO a copy of the guidelines for preparing a concept paper, to be submitted within the annual guidelines specified by USAID.
- ... The concept paper is reviewed to see if it is consistent with USAID's selection criteria. (3 weeks)
- ... The concept paper is forwarded to DTEC for comments/non-objection. DTEC calls a meeting among RTG ministries concerned, the PVO, and USAID to give the PVO an opportunity to respond to any questions the RTG may have. (4 weeks)
- ... USAID informs the PVO to revise and/or develop the concept paper into a detailed project proposal, and provides guidelines for developing a project proposal. (2 months)
- ... The PVO submits the project proposal to USAID for review and approval. Communications during the initial review do not obligate DTEC/USAID to subsequently approve the proposal. (2 weeks)
- ... The project proposal is then forwarded to DTEC for comments/approval. At this stage, DTEC will call another meeting among RTG Ministries concerned, the PVO and USAID to review the project proposal. (4 weeks)
- ... A Grant Agreement is prepared by USAID and signed between USAID and the PVO. (4 weeks)

Although improvements in the process are evident, we believe further action is required to simplify procedures, reduce the time required to process proposals and to improve subproject design, implementation, evaluation and reporting requirements. Currently, USAID allows six months for the process from consultation with the PVO to the signing of the grant agreement. While the time can be reduced to three or four months, our review indicates that the average amount of time for the twelve current

three months refers to the time that USAID and DTEC take to process the proposal. If a concept paper or proposal is sent back for revisions, as often occurs, the time spent by the PVO on revisions should be added to this time frame. Specific suggestions for reducing the processing time are mentioned throughout this section of the evaluation, and summarized in Appendix 9.

D. USAID Guidelines

USAID has developed standard outlines for concept papers, proposals, subproject reports and USAID staff visits. Several of these were adapted from AID/W guidelines for grants to PVOs. This has helped to improve the quality of PVO submissions. In addition to clarifying the criteria as discussed above, a clear summary of the PVO program to use as a handout together with the other guidelines is needed. For example, several PVO staff are not clear about USAID's policy about time frames for subprojects, and whether extensions are possible, with or without additional funding. The "packet" of materials for public dissemination should be in both English and Thai.

E. Concept Papers

The intention of the concept paper to offer a brief outline of a project idea has gotten out of hand. In many cases they are full-blown proposals; their average length is eleven pages. Concept papers should be used as preliminary planning documents (as are PIDs in the AID project development process) and should not contain detailed implementation, financial, and evaluation information. The present requirements for extensive information may build up expectations of approval and cause unnecessary expenditure of development funds by the PVO. Therefore we recommend that USAID limit concept papers to no more than five pages.

One argument for retaining lengthier concept papers is that PVOs need to go through several iterations before coming up with an acceptable proposal and that the concept paper should be viewed as an initial draft of the proposal. This point is probably more relevant as grants are extended to smaller IPVOs. We feel, however, that a brief concept paper is a good discipline for PVOs, that it protects them from having to invest large amounts of time in ideas that are not acceptable, and that they can still be asked to do several drafts of concept papers and/or proposals when this is warranted. Several of the IPVOs which have submitted concept papers are presently developing their second or third draft in response to comments from USAID.

F. Subproject Design

The outline provided to PVOs by USAID for proposals appears to have helped in improving the design of subprojects and the quality of proposals in general. This conclusion was reached after reviewing all current subproject proposals. Once USAID has

reviewed its criteria for subproject, some of these criteria could be included in the outline for proposals. In addition, the technical terms presently used should be replaced with simple language. Similarly, instructions for each component should be developed to make the guidance more understandable to the many PVO personnel who have had little experience with project design concepts. A sample proposal, such as the one contained in AID/W guidelines, should be provided with the outline.

The evaluation of Co-Fi I concluded that subproject designs were weak in many areas, and we found that they continued to be weak in addressing replicability, sustainability, and evaluation plans. The guidelines, training, and any technical assistance offered to PVOs should give special attention to these elements, as we will discuss in the section on institution building.

G. Reporting Requirements

The introduction by USAID of a progress and evaluation report format (adapted from AID/W Guidelines) has been helpful in obtaining better reports from PVOs. (See Appendix 13.) Project staff have also been very responsible in developing an effective tracking system to check when reports are submitted. Several IPVOs, however, continue to see them as burdensome. In pressing them, it seems that they view the reports as much more elaborate than they are intended to be. It is important to review the guidelines and be sure that very simple terms are used.

In addition, we found that having to write reports in English has caused some anxiety and problems with a number of IPVOs. This problem will become even more pronounced if USAID expands the involvement of small IPVOs. USAID should allow IPVOs to write their reports in Thai and then use project funds to translate them, or allow them to use project funds for assistance in writing the reports in English.

USAID should also review the timing of reports. Progress reports generally should continue to be made quarterly, particularly for IPVOs new to USAID, and ones with large, complex projects. Some flexibility may be desirable with the larger USPVOs that are closely monitored by their home office. Elsewhere we suggest that USAID project staff make at least two visits a year to the subprojects. If IPVOs are having trouble with the reporting requirements these visits could be used to assist them in compiling the kinds of information they need to produce the reports.

H. Grant Agreement

Related to items discussed above, it was found that most IPVOs as well as local staff of some USPVOs do not understand all the requirements and standard provisions of their grant agreements. USAID should develop a simple handbook that highlights the key and most troublesome aspects of the grant agreement. This has proved helpful in the Philippines.

I. Dissemination

Additional attention needs to be paid to dissemination. Most of the subproject proposals reviewed do not contain plans for dissemination nor do they budget any funds for this purpose. (One notable exception is the World Education/MOE Regional Non-formal Education Center Project in Had Yai. A model for rural development through non-formal education was developed, published, and disseminated through the MOE and UNESCO.) The different methods of dissemination of experience that would be beneficial to others include: workshops, seminars, libraries, appropriate university departments, a PVO information clearinghouse, appropriate government departments, USAID librarian, AID/CDIE, and international development agencies. (Section VIII discusses the role of workshops further.)

USAID should survey the strategies that other donors and USPVOs have developed for disseminating information, and develop a coordinated dissemination plan. By compiling resources and distribution avenues, it may be possible to use radio, television, and video tape.

J. USAID Management Capability

USAID expressed concern about workload and staff implications of the PVO Co-Financing Project. Presently there are six persons directly involved in the administration of the project--two are full-time, one is half-time, one (Chief, PSD) spends approximately 40 percent of his time on the activity, and two secretaries spend percentages of their time equal to one full-time secretary. In addition, one full-time consultant is contracted with project funds to provide technical assistance to IPVOs involved in the program. Other management and technical personnel in the Mission are involved as required.

IX. INSTITUTION-BUILDING ACTIVITIES

The 1983 evaluation of Co-Fi I underscored the need to develop the institutional capacity of PVOs, and we strongly support this emphasis. It has become even more critical in the context of the emphasis in Co-Fi II on increasing the number of IPVOs involved in the project. To respond to this recommendation, Co-Fi II set aside \$600,000 of the \$5 million grant (12 percent) for what the Project Paper called "institution strengthening activities." The funds were to be used to offer training and technical assistance to those USPVOs and IPVOs designing and implementing subprojects. The Scope of Work for this evaluation specifically directed the team to examine the effectiveness of these funds and compare their impact with the results of funding spent directly on the subprojects.

Since one of the goals of the project is to "strengthen local resources and encourage local participation in the development process occurring in Thailand" we strongly support the emphasis on strengthening the capacity of IPVOs to promote development. One way to do this is to assist organizations in designing and carrying out subprojects, and the project has been very effective in offering such technical assistance. Interviews and site visits, however, suggest that PVOs need assistance beyond designing and implementing projects. A broader approach to institution strengthening would help PVOs develop their organizational and management capacities, and their linkages to a variety of resources and supports. The project has been less successful in this area, and we propose a number of strategies for pursuing this broader definition of institution strengthening.

The Project Paper specified the following forms of institution building: technical assistance to PVOs by a consultant (\$165,000); nine workshops and three conferences to be carried out by a contractor (\$160,000); use of a CPA firm to assess the financial management practices of participating PVOs (\$70,000); mid-project and final evaluations (\$30,000); observational tours to other countries (\$50,000); and special assistance to PVOs in data collection and evaluation (\$75,000). After identifying the strengths and needs of IPVOs, we reviewed how well these activities have addressed these needs, and how they might be improved.

A. IPVO Strengths and Needs

As discussed earlier, many IPVOs have very evident strengths in terms of committed leadership and connections in local communities. Many of these same groups, however, lack strong organizations, and formal accounting procedures that are important to donors. Many of the PVOs also operate very independently of each other. They are unaware of resources available to them and of similar activities being carried out by other PVOs. Site visits gave a picture of committed groups with

little connection to others and little access to cumulative experiences in development. By improving their organizational capacities Co-Fi II could both ensure improved benefits from subprojects, and leave in place more effective organizations to promote development in the future. Interviews suggest the following needs: an ability to develop well thought out proposals; skills in data collection and evaluation design; management skills; a knowledge of alternative models and approaches to development; a greater legitimacy; more knowledge of potential resources; linkages with other groups doing similar activities.

B. Technical Assistance

The consultant position was filled for five months in 1984 but remained vacant until October 1986. The incumbent's role is to provide assistance to PVOs, particularly IPVOs. To date she has met with the three IPVOs currently receiving grants and has given extensive assistance to IPVOs in preparing concept papers and proposals. Interviews with the staff of three IPVOs indicate that her assistance has been invaluable in helping them develop and redraft concept papers and proposals to meet USAID guidelines. The quality of the concept papers is much higher than prior submissions, and much of this difference is undoubtedly due to these individual consultations. Earlier we noted that a small number of Co-Fi II projects are designed to promote community self-help efforts. The consultant has begun to identify IPVOs with a potential for addressing community development needs, and this emphasis may encourage more proposals in this area. Through these efforts the project has been able to offer very effective technical assistance to those IPVOs involved in the subproject process.

The funds set aside to provide technical assistance to PVOs in designing data collection and evaluation, have not been used, however, for these purposes even though these are areas in which the proposals are particularly weak. We recommend that the consultant and other USAID technical staff be asked to suggest, during the review of concept papers, when it would be helpful to provide some technical assistance to particular PVOs for baseline data collection or evaluation strategies. In a few cases it might be appropriate to use these funds for small seed grants to PVOs to do an initial survey of needs and resources among beneficiaries or to implement a discrete pilot activity. LDAP has developed some interesting strategies for offering technical assistance; these are briefly described in Appendix 15, and should be reviewed by USAID.

C. Training

USAID signed a contract with SVITA, a local professional organization interested in working with PVOs, to carry out the training workshops. A series of three workshops were held the first year covering project design, implementation, and evaluation. A second series of two workshops was held the following year, in addition to a seminar for RTG and PVO staff to exchange views. All PVOs receiving AID funding were encouraged but not required to attend both of the series. Most of the PVOs sent representatives but participants did not necessarily attend all of the sessions, nor were they always the people responsible for project activities. After the second series of workshops, SVITA carried out an evaluation which indicated that members of USPVOs had found the sessions more useful than those from IPVOs and this finding is supported by our interviews.

The reason for the different responses can be traced to the kinds of materials developed for the courses and their manner of presentation. The materials were conceptually sound but were presented as formal academic models. One participant could only recall that she had been confused by the terminology and by such terms as inputs and outputs. Those attending felt they were learning a series of formal steps, rather than a way to develop an implementation capacity. While the workshop materials contained a number of exercises and a field trip to a subproject site, participants commented that the learning from the exercises was never integrated with the lecture material and that the actual examples used were not relevant to their experiences. Several IPVO staff added that the training materials served USAID needs rather than those of the IPVOs, although others commented that they had found some of the concepts useful.

In spite of these problems, training workshops can be a cost-effective way of addressing a broader group of PVOs. Based on the needs identified above, we will consider two aspects of a revised approach to training--the content of the training and mechanisms for providing training.

1. Content of training workshops

(a) Training should be designed to help PVOs with management and organizational skills, and include but be broader than project design. There is a need to develop simple training materials that help PVOs conceptualize what they want to accomplish, what activities would be feasible, and how they will find out what they have accomplished. They also need help in setting up an organization, in collecting information about their communities, and working with other groups.

(b) Workshops should also be designed to deal with substantive aspects of development and to build on subproject experiences. USAID could select a few areas where it has funded similar projects, and bring participants together in workshops to share experiences and lessons learned. For example, in our

interviews we met with groups representing four different approaches to rural village development. All were working in similar situations and yet they knew little about each other. A workshop could be designed to bring together these and other interested PVOs to share and compare approaches. Another workshop could bring together those groups interested in working with hill tribes to share experiences and offer support to each other. A third example is to convene those working in the area of income generation. Yet a fourth type of workshop could bring together PVOs who have made special efforts to work with and influence government activities. Such workshops could be a very effective means to disseminate the results of USAID-funded activities.

2. Mechanisms for offering training workshops

(a) USAID should begin by surveying what other donors and groups are doing in this area and look for opportunities to collaborate with them. LDAP for instance has been exploring similar issues and developed a number of training strategies.

(b) USAID should also survey the variety of institutions with an interest and ability to participate in training activities. Potential IPVOs include Thai Volunteer Service, Rural Development Documentation Center, Rural Reconstruction Alumni and Friends Association, Thai Development Support Committee, in addition to SVITA. Other Thai institutions with some experience in assisting PVOs include the Research and Development Institute at Khon Kaen University, and the Management Services Department at Prince of Songkla University. The survey should also include USPVOs with an interest in assisting in training. By building on the capacities of these institutions, the training could enhance the capacity of Thai institutions to provide such training in the future.

(c) Training plans should take into account regional differences by consulting with Regional NGO-CORD groups about their needs and priorities and include them wherever feasible. In this manner the training could serve the secondary purpose of bringing together PVOs in a region to learn from and assist each other. It would also overcome the impression of many IPVOs that training events are usually designed around the needs and interests of large, metropolitan PVOs, rather than smaller groups with limited resources.

(d) The training should be made available to any interested PVOs and not just to those receiving AID funding. The grantee could work with NGO-CORD to identify and communicate with PVOs. Other relevant bodies include the Coordinating Committee for Primary Health of Thai NGOs, and the Coordinating Committee for Slum Development.

D. Promote Collaboration Among PVOs

As noted, PVOs are often unaware of each other and of potential resources. USAID could provide a useful service by promoting collaboration among PVOs. In addition to the workshops discussed earlier, USAID could consider observation tours for representatives of IPVOs to study ways of collaborating. Two groups of PVO staff members were sent on four-week observation tours of PVOs in the Philippines. Participants were enthusiastic about the trips and their exposure to new ideas. The effects were very diffuse, however, and the travel funds could be put to a much more focused purpose. One alternative is to send members of the NGO-CORD and its regional affiliates to visit other countries with established coordinating bodies. The NGO coordinating group in Bangladesh and InterAction in Washington, D.C. could serve as useful models for the Thai situation.

IX. FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

This section reorganizes the above findings and conclusions around the specific questions raised in the Scope of Work.

A. RESULTS OF EMPHASIS ON INSTITUTIONAL CAPACITY

Findings. There have been significant improvements in the proposals and implementation experiences of subprojects since the evaluation of Co-Fi I in 1983. All of the subprojects under Co-Fi II are reasonably effective, and several are very innovative in addressing the needs of socially disadvantaged groups. At the same time, many of the weaknesses noted in the earlier evaluation are still evident. Project proposals usually have well conceived project purposes, but are weak in providing supporting evidence, and in designing strategies for monitoring activities and effective evaluation. USAID is also increasing the role of small, rural-based IPVOs, many of which have major strengths, but lack experience with the kinds of accountability requirements so important to AID, and with the need to build strong institutions that can sustain project benefits.

To date, project activities to enhance institutional capacity have had mixed results. The technical assistance offered by the consultant has been very positive, while the training was generally irrelevant and failed to address the needs and priorities of IPVOs.

Conclusions. IPVOs continue to need assistance in developing their organizational and management capacity. If USAID is to carry out its long-term goal of promoting strong institutions in Thailand with which it can collaborate, it needs to continue to emphasize institution-strengthening activities. First, such institution building activities can produce and document more positive subproject impacts. Second, if such efforts are defined more broadly to encompass management and organizational skills,

as well as project related skills, USAID can leave in place stronger organizations in the private voluntary sector. Such organizations are an important means to promote sustainable activities.

Recommendations. USAID should increase and strengthen its emphasis on institution-strengthening activities, and target them to the particular strengths, needs and interests of IPVOs. It should also broaden its definition of the beneficiaries of institution strengthening to include IPVOs not receiving USAID grants.

Findings. There are a number of donor organizations providing assistance to and through PVOs in Thailand. In general they assume that institution-building activities are necessary and important to the successful implementation of development programs. They are experiencing some of the same problems in reaching rural-based IPVOs, in responding to their strengths, and in addressing their needs. The CIDA-supported Local Development Assistance Program (LDAP), which has set aside approximately 23 percent of its PVO funding for institution strengthening, is probably having the most success.

Conclusion. USAID can benefit from learning what others are doing, and can probably develop a more cost effective approach to institution-building by collaborating with others.

Recommendation. USAID should explore closer coordination and cooperation with LDAP and other donors and explore the possibility of establishing a committee to coordinate donor activities with IPVOs.

B. NATURE OF CONSTRAINTS THAT LIMIT PVO CAPACITY

Findings. There are three kinds of constraints that limit the capacity of many of the newer IPVOs. First, there are constraints associated with the inexperience and lack of skills among the staff. Second, PVOs are generally unaware of each other's activities, do not interact with other PVOs in the same area, and do not know about available resources or alternative models. Third, a number of USAID requirements and procedures make it difficult for small rural based IPVOs to participate effectively in USAID's PVO program. The next section will address the first two constraints--strategies for dealing with lack of skills and for strengthening linkages among PVOs. This section focuses on the constraints presented by USAID procedures.

USAID requires that IPVOs register with the RTG to qualify for assistance. This registration process is very cumbersome and offers no incentives to organizations other than the possibility of obtaining donor assistance. In addition, the fact that USAID's guidelines and related PVO information are in English causes a certain amount of apprehension for some small IPVOs with limited English language skills. Many of those who are participating do not adequately comprehend the meaning and/or the

intention of the materials and a certain amount of effectiveness in the administration of the grant and the implementation of the project is lost.

Conclusion. AID's requirement that IPVOs be registered with the RTG to qualify for assistance excludes a significant number of the small IPVOs that are not inclined to face up to a burdensome time-consuming registration process. Some of USAID's procedures and their manner of presentation inhibit the participation of smaller, less experienced IPVOs, who nevertheless have strong community based roots among the poor.

Recommendation. USAID should explore whether small rural development IPVOs are "legal entities" without RTG registration. If they are not, then USAID should consider waiving the requirement that IPVOs must be registered with the RTG to obtain assistance, thus enabling more of these groups to qualify for assistance. USAID should also develop guidelines that would make registration a more acceptable process for IPVOs.

Recommendation. USAID's briefing materials and guidelines should be simplified further and translated into the Thai language. Simple materials regarding registration, evaluation, and other key items should also be developed and published in Thai.

C. VALUE OF ALTERNATIVE METHODS OF INCREASING PVO CAPACITY

Findings. Technical assistance provides tailored and hands-on assistance to PVOs carrying out subprojects. It has proved to be very successful, has visibly improved the quality of proposals submitted, and has increased the self-confidence of some of the newer development-oriented IPVOs. Training activities have been less successful. They were designed to impart formal project-related requirements, and failed to address the management and organizational needs of many IPVOs, particularly those with less experience in development projects. While the IPVO that offered the training is a very professional organization, regional IPVOs perceive that it is oriented to metropolitan interests and lacks rural ties. Finally, most IPVOs have some common needs, as identified above, but lack an awareness of what others are doing and what resources could be available to them. A coordinating body of PVOs has been organized at the national and regional levels, but is still in the formative stages and is often caught up in conflicts between the more traditional welfare organizations and the more activist regional development groups.

Conclusions. The most effective way to help IPVOs is to provide technical assistance that is tailored to their specific needs and strengths. This is particularly effective for those IPVOs receiving subproject grants.

Recommendation. USAID should encourage the consultant to continue her emphasis on working closely with IPVOs and dealing with their specific needs.

Recommendation. The Project Paper set aside funds to assist PVOs in data collection and evaluation. The consultant should offer recommendations to use these funds to make small seed grants to IPVOs to collect data and develop more effective evaluation strategies.

Recommendation. USAID should encourage USPVOs to move into a facilitative rather than an operational role, and explore ways to work with and assist IPVOs.

Conclusions. The inadequacy of training efforts to date stem from their focus and design. In spite of past deficiencies, training workshops can be a cost-effective way of reaching a broader group of IPVOs, enhancing their confidence, broadening their knowledge about development strategies, and encouraging interaction and sharing among them.

Recommendation. USAID should begin by surveying the kinds of training being offered by other groups, particularly other donors. It should also survey the variety of indigenous groups and USPVOs with an interest in providing training and assistance to IPVOs. A number of universities and research institutes, for example, have been associated with several of the subprojects and potentially can be very useful. In collaboration with other donors, USAID should develop a coherent training strategy that relies on the resources of indigenous groups and strengthens their long-term capacity to provide training.

Recommendation. The training strategy should include activities with a regional focus and strong grass roots orientation.

Recommendation. The training strategy should produce simpler and more relevant training materials. These materials should be based on actual subproject experiences in donor files, rather than "cookbook" exercises. They should emphasize the logic and utility of project design and implementation, rather than formal models.

Recommendation. The training should include workshops that bring together organizations administering similar types of subprojects or similar problems. Examples include income generation in rural villages, working with hill tribes, and promoting sustainability. Their purpose would be to compare approaches, disseminate donor experiences, draw conclusions

about effective development strategies, and build networks among the IPVOs.

Conclusions. In addition to technical assistance and training workshops, an institution-strengthening strategy should encourage coordination among the IPVOs. A basis has been laid for such coordination in the NGO-CORD, but members lack experience and relevant models.

Recommendation. USAID should make contact with the NGO-CORD. They should use the funds set aside for observational tours to send board members to visit countries with strong coordinating bodies, making certain that the delegations include representatives from the regional as well as the national boards. USAID should also consult with LDAP about the assistance they are providing to NGO-CORD and determine if there is a role for USAID.

Recommendation. USAID should look for opportunities to encourage networking among PVOs and to link grantees with other organizations. For example, the PVO consultant could compile lists of universities and institutes that have been involved in subprojects, and suggest them to PVOs when appropriate.

D. ROLE OF USAID IN PROMOTING PVO ACTIVITIES UNDER SIXTH ECONOMIC AND SOCIAL DEVELOPMENT PLAN

Findings. The twelve currently funded subprojects (10 under Co-Fi II and two OPG subprojects) fit within the emphasis in the Sixth Plan on addressing the self-development needs of the socially and economically disadvantaged. Co-Fi II subprojects include several exemplary innovations, such as the development of legislation to protect the rights of the disabled, and a project to improve the ways in which the Ministry of Education works with the blind. All are directed towards the disadvantaged, and most are being carried out in the poorer regions of the country, often with handicapped groups or minorities. At the same time many of the subprojects are weak in designing strategies to insure sustainable activities. Only a few emphasize activities such as building strong local organizations, promoting self-help through participation, exploring alternative sources of funding, or developing linkages with other institutions including the government.

Conclusions. As AID staff continues to be cut back, PVOs provide an important mechanism for AID to carry out relevant development activities. Co-Fi II has encouraged a variety of innovative activities that draw on the comparative advantages of a number of PVOs. Some effort should be made to encourage more subprojects that emphasize participation and self-help by the beneficiaries, that attempt to mobilize groups, and that stress sustainability.

Recommendation. The consultant should continue her activities to identify innovative and active IPVOs who may

be unaware of USAID programs. USAID should identify IPVOs working in sectoral and geographic priority areas promoted by USAID and attempt to gain their participation in PVO Co-Financing.

Recommendation. USAID should review its criteria for subprojects. These should not only indicate priority substantive areas, but should emphasize self-help approaches and sustainable activities.

E. EFFECTIVENESS OF USAID AND DTEC ADMINISTRATIVE ARRANGEMENTS

Findings. USAID has been very responsible in reviewing, updating and improving its procedures for implementing Co-Fi II. As noted above, however, many of these still act as impediments to the smaller IPVOs. DTEC has also tried to be responsible in carrying out its role of review, but often its requirements have served to complicate rather than shorten and simplify the process. LDAP and the Canadian Embassy have experienced similar problems in working with RTG requirements and are planning to negotiate more favorable procedures with the RTG before initiating the second phase of their program.

Conclusions. The amount of time required to process subproject proposals is excessive. USAID needs to continue its review and modification of its administrative procedures, particularly to be more responsive to the needs of IPVOs. While it will be difficult to make changes with DTEC in the middle of implementing Co-Fi II, USAID should develop a strategy, perhaps jointly with LDAP, to review DTEC's role in future co-financing programs.

Recommendation. The time that USAID and DTEC take to process proposals should be reduced to three months. Recommended steps include: (1) review concept papers and proposals as they are submitted; (2) restore the concept paper to a planning and idea document of no more than five pages; (3) involve DTEC in the process only at the concept paper stage; (4) change the rules so that PVOs can obtain any required RTG approval at the relevant level of government (village, district, province, central), rather than through DTEC.

F. SUFFICIENCY OF USAID STAFF TO ADMINISTER THE PROJECT

Findings. Presently there are the equivalent of five persons involved in administering the project, inclusive of secretarial support. They are functioning very efficiently, have developed effective procedures for monitoring subprojects and handling paper work, and have a good perspective on the larger goals of the project.

Conclusion. Co-financing programs are always among the more staff-intensive activities that USAIDs undertake. As did the previous evaluation team, we conclude that this staffing is not excessive given the value of the project in developing indigenous organizations that can directly carry out development activities. As the number of subprojects increases during the last two years of the project, the pressures on staff time will increase.

Recommendation. The part-time position should be made full-time.

X. APPENDICES

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14. David Korten, "Micro-Policy Reform: The Role of Private Voluntary Development Agencies," NASPAA Working Paper No. 12, Revised, August 1986.	91
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Scope of Work
for
Evaluation of the PYO Co-Financing II Project
(493-0342)
USAID/Thailand

I. ACTIVITY TO BE EVALUATED

The team is to evaluate the PYO Co-Financing II (Co-Fi II) project (493-0342). Co-Fi II provides for a \$5m grant from FY 1985 - FY 1989, and a planned 8-year PACD (FY 1985 - FY 1992).

II. PURPOSE

This mid-term evaluation of the PYO Co-Financing II (PYO Co-Fi II) project is to review the work undertaken in the first 2 1/2 years of the project. It is further to examine the need for and suggest specifics of a shift in emphasis during the remaining project life. Three major concerns face the USAID mission: one is whether that the focus on institutionalization has resulted in less development impact than would otherwise have occurred. The second concern is that present registration requirements present a considerable obstacle to small indigenous PYOs (IPYOs), both because of the accounting systems required and the time elapsed between application and approval. The third concern is the staff-intensive nature of the project for USAID. The evaluation will be used by USAID/Thailand in considering revisions in project procedures and emphasis.

III. BACKGROUND:

USAID funding of PYO activities in Thailand began in 1976 under the Asia Regional Project (498-0251), under which a total of \$2,281,252 was granted to 18 sub-projects. The regional project was followed by the first of two USAID/Thailand projects: PYO Co-Financing I (493-0296), succeeded by PYO Co-Financing II (493-0342), covering the periods of FY 1980-1984 and FY 1985-1989, respectively. PYO Co-Fi I granted \$ 5 m.,

funding 21 sub-projects over the 5-year project life. The current 5-year PYO Co-Fi II grant of \$5 m. includes \$ 4.4 m. for co-financed PYO sub-projects (ten of which have been initiated; two additional projects are centrally funded). The \$ 4.4 m. direct support is supplemented by PYO in-cash or in-kind contributions of not less than \$ 1.1 m., or 25% of the USAID funding of each sub-project.

By August 31, 1986 ten sub-projects totalling \$2,062,000 had been funded under Co-Fi II. Of this total, 3 sub-projects, totalling \$520,700 were with indigenous PYOs*. Thirteen IPYOs had been registered with USAID and another nine were in the process of registering. Six workshops and seminars, attended by approximately 150 participants, had been held and seven people visited the Philippines to observe PYO Co-Financing activities there.

Technical Assistance

In addition to the \$4.4 m. sub-project budget, \$ 600,000 is earmarked for technical assistance. The technical assistance provision responds to evaluator criticism of weakness in PYO Co-Fi I sub-project design. In response to this criticism and the subsequent direction of the Asia Project Approval Committee (APAC) that sufficient resources be provided to help strengthen IPYO capacity, Co-Fi II incorporates two mechanisms: the hiring of a long-term consultant, and the conduct of workshops and other training. The consultancy position was initially filled for five months in 1984, and then remained vacant until October 1, 1986.

In the absence of a consultant, the SVITA Foundation, a registered Thai PYO, was contracted to plan and conduct a series of three workshops, held in April - September 1985. The three workshops dealt with project

* Two additional centrally-funded projects are being carried out with US-based PYOs.

design, implementation, and monitoring and evaluation. SVITA was again contracted in 1986 to carry out a similar workshop series. Two conferences each in Years 3 and 4 (1987 and 1988) and one each in Years 5 and 6 (1989 and 1990) are provided for in the Project Paper.

Sub-project Grant Process

The sub-project grant process first involves registration with USAID, followed by submission of an initial concept paper for review by AID and then the Royal Thai Government (RTG), and then a final proposal, also reviewed by AID and the RTG. RTG involvement in sub-project approval is governed by a Memorandum of Understanding with the Department of Technical and Economic Cooperation (DTEC). Sub-project grants are obligated through USAID/PVO agreements, following USAID and RTG approval. Both the registration and sub-project approval processes are somewhat lengthy, averaging a minimum of 7 and 6 months, respectively.

As the major RTG cooperating agency for bilateral projects, the Department of Technical and Economic Cooperation (DTEC) is involved in Co-Fi II on an overall level. This involvement is governed by a bilateral agreement providing the framework for Co-Fi II; detailed implementation plans, including financial information, are submitted to DTEC annually for approval.

The Co-Fi II project is administered by the USAID Division of Project Support. The equivalent of 3.80 full-time professionals manage Co-Fi II. Additional secretarial, finance, and accounting staff time are also required.

RTG Policy Framework

In the Sixth Economic and Social Development Plan, the RTG advocates (in what is for Thailand an unprecedented strategy), that: "private organizations ... participate in the prevention and in finding solutions

to social problems". Official policy-level support has been given to a National GO-NGO Task Force. National and Regional NGO Coordinating Committees have also been formed.

IV. STATEMENT OF WORK

The current external evaluation was planned in the Co-Fi II Project Paper, in order to "assess the accomplishments, strengths, and/or weaknesses of the project in meeting stated goals and objectives". This exercise is to be formative; that is, it is intended to determine the need for and direction of project shifts in the final phase of Co-Fi II, and to provide specific recommendations in this regard.

The purposes of this evaluation are:

- (1) to assess the extent to which the funded PYO activities, including those of IPVOs, are achieving the following goals:
 - a) "addressing the self-development needs of socio-economically disadvantaged groups", or narcotics awareness and environmental issues.
 - b) "promoting the institutional strengthening of PYO's in order that they might be a source of self-sustained development activity after Co-Fi II funds have been exhausted."
- (2) to assess progress toward expected end of project status, as outlined in the project paper:
 - a) at least 40% of Co-Fi II funds administered directly by IPVOs;
 - b) increased capacity, particularly of IPVOs, to design and implement projects which can compete for centrally managed AID funds, as well as mission funded grants;
 - c) PYO self monitoring and evaluating capacity developed and these activities carried out;
 - d) PYOs' increased scope of activities in RTG priority sectors;
 - e) direct development impact increased.
- (3) To examine the need for a shift in emphasis from PYO institutionalization to sub-project impact. Considerable attention has been focused on institutionalization, including

\$56,269 for seminars and workshops intended to enhance organizational capacity. There is some concern that this has not increased the capability for direct development impact, and that this latter aim deserves greater emphasis.

- (4) To review USAID, RTG, and PYO administration of the project as it affects successful project implementation.

Questions to be answered by the evaluation team:

1. Is the emphasis on institutional capacity resulting in stronger IPVOs? If so, how? If not, what prevents the strengthening of the local PYOs and what can be done to strengthen them?
2. Should alternative methods of increasing IPVO institutional capabilities be undertaken or should the project be re-directed to focus on PYO sub-project impact?
3. What is the nature of constraints that limit PYO capacity to build on successful projects? How can they be resolved or removed?
4. What role should the USAID mission take in promoting PYO activities under Thailand's Sixth Economic and Social Development Plan?
5. Are USAID and DTEC administrative arrangements contributing to successful project implementation? If not, how should such arrangements be changed?
6. Will USAID staff be sufficient to administer the project as it expands in the future with new sub-projects annually?

The evaluators shall recommend specific strategies to:

1. Strengthen direct development impact of sub-project.
2. Overcome evaluator-identified constraints which limit PYO capacity to build on successes.
3. Improve dissemination of sub-project findings.
4. Strengthen project support services of the mission.
5. Improve USAID project administration.

In their final reports the Evaluators shall provide and clearly distinguish among findings, conclusions and recommendations on the above points.

V. METHODOLOGY AND PROCEDURES

The evaluation shall be conducted over a 3-week period. Approximately 1 week of this time will be spent in the field; the remaining 2 weeks in Bangkok. Evaluators shall work a 6-day week.

The evaluation shall involve the following:

- a) review of USAID PYO Co-Fi II files and
review of relevant sections of the RTG's Sixth Economic and Social Development Plan
- b) interviews with
 - (1) staff of the Office of Project Development and Support, USAID/Bangkok
 - (2) selected PYO field and central office staff
 - (3) selected RTG officials (Pairote Suchinda, NESDB); and vice-chair, GO-NGO Task Force
- c) Observation of PYO sub-project activities in the field, including visits to sub-project sites in the North, Northeast, South and the Bangkok area
- d) Evaluator's qualitative (and, where possible, quantitative) analyses of data gathered from the above sources.

USAID/Thailand will make domestic travel arrangements.

Consultants shall be entirely responsible for preparing this report, including the provision of secretarial and other support needed.

VI. EVALUATION TEAM COMPOSITION

The evaluation team shall include 1 Thai and 2 American consultants. Qualifications for all consultants include:

- . previous PYO work experience and/or

- . previous PYO program/project evaluation experience, and
- . superior English language writing skills.
- . At least one U.S. member of the team shall have extensive knowledge of USAID PYO financing policies and practices.

The team leader shall have the following additional qualifications:

- . Master's degree in development or related field or bachelor's degree plus 5 years experience in project/program management
- . AID Evaluation experience
- . Knowledge of PYO financing policies and practices desired, but not required if second team member possesses such knowledge
- . Demonstrated English language writing skills.

Team Member II

- . Master's degree in development or related field or bachelor's degree plus 5 years PYO field experience
- . Demonstrated English - language writing skills.

Team Member III

- . Thai national*
- . Master's degree in development or related field or bachelor's degree plus 5 years PYO experience
- . Knowledge of Thai PYO activities
- . Demonstrated English - language skills.

VII. Reporting

A. Draft Report

A draft written report shall be presented to O/PDS shortly prior to the end of the evaluation period. O/PDS will schedule, in consultation with the evaluators, a briefing session for USAID and DTEC staff, and possibly selected PYO management, at which the evaluators will discuss their draft findings, conclusions and recommendations.

* See Footnote to Budget

B. Final Report

The final written report, incorporating the comments of USAID and DTEC officials, will be presented to USAID within 30 calendar days after presentation of the draft report. The final report will follow the format outlined in Annexes A and B.

Annex A

Format of the report. The evaluation team shall prepare a written report containing the following sections:

- Basic Project Identification Data Sheet. (See attached outline.);
- Executive Summary. Three pages, single spaces. (See attached outline.);
- Body of the Report. The report should include a description of the country context in which the project was developed and carried out, and provide information (evidence and analysis) on which the conclusions and recommendations are based. The report should not exceed 30 pages); details may be included in appendices;
- The report should end with a full statement of conclusions and recommendations. Conclusions should be short and succinct, with the topic identified by a short sub-heading related to the questions posed in the Statement of Work. Recommendations should correspond to the conclusions; whenever possible, the recommendations should specify who, or what agency, should take the recommended actions;
- Appendices. These should include at a minimum the following:
 - (a) The evaluation Scope of Work;
 - (b) The pertinent Logical Framework(s), together with a brief summary of the current status/attainment of original or modified inputs and outputs (if these are not already indicated in the body of the report);
 - (c) A description of the methodology used in the evaluation (e.g., the research approach or design, the types of indicators used to measure change, how external factors were treated in the analysis). Evaluators may offer methodological recommendations for future evaluations;
 - (d) Bibliography of documents consulted.

Other appendices may include more details on special topics, and a list of agencies consulted.

The evaluation team shall draft the A.I.D. evaluation summary per pages 37 - 47 of the ANE "Procedural Guidelines for Evaluation".

EXECUTIVE SUMMARY OUTLINE

The Executive Summary is a three page, single-spaced document containing a clear, concise summary of the most critical elements of the report. It should be a self-contained document that can stand alone from the report. The summary should be written in such a way that individuals unfamiliar with the project can understand the project's basic elements and how the findings from the evaluation are related to it without having to refer to other documents.

1. Name of mission or ANE Bureau office initiating the evaluation, followed by title and date of full evaluation report.
2. Purpose of the activity or activities evaluated. What constraints or opportunities does the activity address; what is it trying to do about the constraints? Specify the problem, then specify the solution and its relationship, if any, to overall mission or office strategy. State the logframe purpose and goal, if applicable.
3. Purpose of the evaluation and methodology used. Why (and if a single project or program, at what stage--interim, final, ex pose) was the evaluation undertaken? Briefly describe the types and sources of evidence used to assess effectiveness and impact.
4. Findings and conclusions. Discuss major findings and interpretations related to the questions in the Scope of Work. Note any major assumptions about the activity that proved invalid, including policy related factors. Cite progress since any previous evaluation.
5. Recommendations for this activity and its offspring (in the mission country or in the office program). Specify the pertinent conclusions for A.I.D. in design and management of the activity, and for approval/disapproval and fundamental changes in any follow-on activities. Note any recommendations from a previous evaluation that are still valid but were not acted upon.
6. Lessons learned (for other activity and for A.I.D. generally). This is an opportunity to give A.I.D. colleagues advice about planning and implementation strategies, i.e., how to tackle a similar development problem, key design factors, factors pertinent to management and to the evaluation itself. There may be no clear lessons. Don't stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 4-5 above are succinctly covered, the reader can derive pertinent lessons. On the other hand, don't hold back clear lessons even when these may seem trite or naive. Address:
 - . Project design implications. Findings/conclusions about this activity that bear on the design or management of other similar activities and their assumptions.
 - . Broad action implication. Elements which suggest action beyond the activity evaluated, and which need to be considered in designing similar activities in other contexts (e.g., policy requirements, procedural matters, factors in the country that were particularly constraining or supportive).

APPENDIX 2

Evaluation Team

The Scope of Work calls for an evaluation team composed of three members. These include two U.S. external consultants with PVO related and evaluation experience, one of whom has extensive knowledge of PVO financing policies and practices. The third team member is to be a Thai national with knowledge of the PVOs within Thailand.

The team leader is Dr. Louise G. White, a faculty member at George Mason University. She has experience in evaluating AID programs, and wrote a monograph on impact evaluations for AID/CDIE. Dr. White also has a particular interest in strategies for developing institutional capacity among PVOs and developed guidelines for evaluating institution building among PVOs funded under AID/W Matching Grant Program.

The second U.S. consultant is Bernard Salvo with 20 years experience as a Development Officer in AID. These include approximately 11 years working in Guyana, Vietnam and Indonesia where he worked with PVO related projects. In Indonesia he was Chief of the Office of Private Voluntary Affairs. He also spent seven years in AID/W on PVO-related activities.

The Thai national is Maniemai Thongyou, who currently is on the staff of the Research and Development Institute of Khon Kaen University where she does research on PVOs in Thailand. She has worked directly with IPVOs for eight years, and has published a study of IPVOs based on original research.

APPENDIX 3

LIST OF PEOPLE INTERVIEWED

AID/W

Robert Shoemaker, Project Development Officer
Jay Nussbaum, Regional Project Development Officer
Peter Burke, Deputy Director, CARE/New York
Larry Campbell, Director, Education and Rehabilitation, HKI/New York
Paul Bisek, ANE/TR/HR
Carla Maged, ANE/TR/HR
Sharon Benoliel, ANE/DP/E
Richard Fuller, Director for Asia Region, TAF/San Francisco

AID/T

John Eriksson, Mission Director
Edward Ploch, Program Officer
Roger Montgomery, Evaluation Officer, PRO
Willy Baum, Chief, Project Support Division
Lawan Ratanaruang, Project Officer, PSD
Garry Suwannarat, Consultant, PSD
Pornsiri Chatiyononda, Assistant Project Officer, PSD
Sompongse Somsookh, Assistant Project Officer, PSD

NESDB

Chomsak Saradatta, Chief, Rural Development Projects Coordination Div.
Somporn Thongsukchote, RDPCD

DTEC

Archari Yuktananda, Chief, U.S.A. Sub-Division
Malinee Intarangsi, PVO Project Section Officer

LDAP

Warunee Kritcharoen

LIST OF PEOPLE INTERVIEWED BY PVO BY PROJECT

CARE

Marshall French, country director
Mike Carroll, field representative
 Kho Wang Resources Formation
Edward Waters
Sanga Uttisin, project operations Manager
Prachao Janthung, marketing specialist
Kriangsak Wiriyakorn, field extensionist
Chamniern Tharithi, field extensionist
 Ubon Micro Enterprise Extension Project
Krongkan Na Nakornpanom, project administrator
Thumrong Maseekaew, field officer (agriculture)
Anchalee Petchsing, credit analyst
Pinyo Veerasuksavat, appropriate technology officer

Christian Foundation for the Blind

Prayat Punongong
Bert Jaekol
Jergen Meyer

Center for Culture and Development

Phong Senging, director
Sompot Somboon, deputy director
Jeerasak Siharat, board member

Duang Prateep Foundation

Prateep Ungsongtharm Hata, secretary general

FWWBT

Accelerated Development Program for Women in Small Business
Nisa Xuto, project director
Chaweewan Promma, provincial coordinator (chiengmai)
Wanni Lithonkul (project beneficiary)
Nuanhong Ninvichien (project beneficiary)

HKI

Kirk Horton, country director

IHAP

Thai Sign Language Dictionary, Book II
The Disabled People of Thailand and the comprehensive
Rehabilitation Act.

Owen Wrigley, IHAP Country Representative.
Pongchan Na Bangchang

Mae Fah Luang (Thai Hillcrafts) Foundation

Remote Area Youth Training and Village Development.
M.R. Disnadda Diskul, Foundation Managing Director
Nakorn Pongsanoi, project administrator
Manas Ratanasachadhr, board member

NGO-Coordinating Committee on Rural Development

Phong Senging, Northeast Regional Coordinating Committee Member
Nikorn Weesapen, Northeast Regional Coordinating Committee Member
Jeerasak Siharatna, Northeast Regional Coordinating Committee Member
Sompan Techa-atik, former assistant secretary, NGO-CORD

Pearl S. Buck Foundation

Assistance to Older Amerasians
Ed Powers, country director

Rural Friends Association

Supot Prasertsri, director
Chumpol Surindaraboon, deputy director
Nopawan Sodasak, Woman's Programme coordinator
Boonchuai Jaratna, farmer's organization coordinator
Samret Samanmak, office manager
Prateep Arammuang, village group organizer
Villagers of Ban Takraw, Tambon Tabao, Amphur Prasat, Surin
Women's group of Ban Kantalhal, Tambon Tabao, Amphoe Prasat, Surin.
Head-master and teachers of Kantraram School, Tambon Bansai,
Amphur Prasat, Surin.

The Asia Foundation (TAF)

Allen Choate, TAF representative
Jim Klein, assistant representative

Legal Dissemination and Leadership Roles Awareness Program of
Women in Southern Thailand.
Thawee Dhanatrakul, dean, the Faculty of Management Sciences,
PSU.
Usanee Wanaritikul, director, Women Research and Development

Institute, Faculty of Management Science, PSU
Busabong Chaichareanwattana, project committee.

Vocational Skills Training for Students in Private Islamic
Religions School.
Sawek Pisuwan, project manager
Rachit Wanlabe, head-master of PIR School
Hayili Kosumpan, PIR School manager

Food and Nutrition/Rural Development Center for Southern
Thailand (Project terminated)
Kiriboon Suwankiri, extension specialist
Narumon Pinainitisate, nutrition specialist, FNRDC
Montha Buripakdi, food and nutrition trainee (project
beneficiary)

World Education Incorporated

STEP (project terminated)

Supit Chitranonda, training specialist, Regional Non-Formal Education
Center.
Kanung Karnchanabut, evaluator, RNFFC.

SVITA

Malee Suwana-adth, secretary-general

APPENDIX 4

Schedule of Activities by Evaluators

Tuesday, May 5,

Interviews, AID/W

Robert Shoemaker, Project Development Officer

Jay Nussbaum, Regional Project Development Officer

Conference calls with:

Peter Burke, Deputy Director, CARE/New York

Larry Campbell, Director, Education and Rehabilitation,
HKI/New York

Wednesday, May 6,

Paul Bisek, ANE/TR/HR

Carla Maged, ANE/TR/HR

Sharon Benoliel, ANE/DP/E

Conference calls with:

Richard Fuller, Director for Asia Region, TAF/San Francisco

Thursday, May 7,

enroute to Bangkok

Friday, May 8,

arrive Bangkok in evening

Saturday, May 9,

Review of PVO Co-Fi II files

Monday, May 11,

Review of PVO Co-Fi files

Dr. Malee Suwantha-Adth, Secretary General, SVITA Foundation

Kirk Horton, Country Director, Helen Keller International Foundation

Tuesday, May 12,

Video of Women's World Banking

Briefing with PSD Staff, USAID/T

Willy Baum

Gary Suwannarat

Lawan Ratanaruang

Pornsiri Chartiyanond

Sompongse Somsookh

Roger Montgomery, Mission Evaluation Officer

Meet with Dr. John Eriksson, Mission Director

Edward Ploch, Acting Deputy Director

Wednesday, May 13

Duang Prateep Foundation

Prateep Ungsongtharma Hata

Bernie Cooper

CARE

Marshall Frensh
Mike Carroll, field representative

FWWBT

Nisa Xuto, director

Thursday, May 14

The Asia Foundation

Allen Choate, TAF Representative
Jim Klein, Assistant Representative

Pearl S. Buck Foundation

Ed Powers, Country director

Mae Fah Luang Foundation

M.R. Disnadda Diskul, Managing Director

IHAP

Owen Wrigley

DTEC

Achari Yuktananda, Chief, U.S.A. Sub-Division
Malinee Intarangsi, PVO Project Section Officer

NESDB

Chomsak Saradatta, Chief, Rural Development Projects Coordination
Division
Somporn Thongsukchote, RDPC Division

Depart for Hat Yai

Friday, May 15

TAF, PSU Legal Dissemination project

Thawee Dhanatrakul
Usanee Wanaritikul
Busabong Chaichareanwattana

TAF, PSU Food and Nutrition/Rural Development Centre

Kiriboon Suwankiri
Narumon Pinainitisate
Montha Buripakdi

TAF, Vocational Skill Training For Students in Private
Islamic Religious School (Site visit)

Sawek Pisuwan
Rachit Wanlabe
Kayili Kosumpan

World Education, STEP
Supit Chitranonda
Kanung Karnchanabut

Dinner with PSU Projects' staff

Saturday, May 16

Field report, review file
Team meeting

Sunday, May 17

Depart Bangkok for Ubon
Dinner with CARE Micro-enterprise project staff

Monday, May 18

CARE Micro Enterprise project office and site visit(Ban Jik)
Mike Carroll
Krongkarn Na Nakornpanom
Thumrong Maseekaew
Anchalee Petchsing
Pinyo Veerasuksavat

Dinner with project staff

NGO-CORD

Nikorn Weesapen

Tuesday, May 19

Depart Ubon for Kho Wang - office and sit visit (Ban Tiew)
Edward Waters
Sanga Uttisin
PrachaoJanthung
Kriangsak Wiriyankorn
Chamniern Tharithi

Depart Kho Wang For Surin

Dinner with Rural Friends' Association project staff

Wednesday, May 20

RFT - office and sites (Ban Takraw, Ban Kantalhal, Kantraram School)

Supot Prasertsri
Chumpol Surindaraboon
Nopawan Sodasak
Boonchuai Jaratna
Samret Samanmak
Prateep Arammuang

Depart Surin for Khon Kaen

APPENDIX 5

Documents and Other Materials Reviewed

RTG DOCUMENTS

Sixth National Economic and Social Development Plan (1987-1991)

AID/W DOCUMENTS

Asia Near East Bureau Procedural Guidelines for Evaluation, 1986
Private and Voluntary Organizations, AID Policy Paper, 1982
Revised Guidelines for Working with PVOs, AID/W, November 1983
A Guide to AID-Peace Corps-PVO Collaborative Programming, 1984
Country Development Strategy Statement, FY 1987, Thailand, Agency
for International Development, Washington D.C.
Evaluation, PVO Co-Financing Project, Philippines, 1984
Guidelines for Data Collection, Monitoring and Evaluation Plans
for Asia and Near East Bureau Projects, prepared by Maureen
Norton and Sharon Benoliel-Pines

USAID/T DOCUMENTS

Annual Budget Submission, Thailand, AID, FY 1988, June 1986
Project Paper, Thailand PVO Co-Financing II (493-0342)
Audit of Southeast Asia Region Private Voluntary Organization Co-
Financing Programs, No. 2-498-87-05, 1987
Evaluation of the Co-Financing Project (493-0296), Thailand, 1983
Terminal Report on PVO Development Training Workshops, 1986

OTHER DOCUMENTS

LDAP and Thai Non-government Organizations in Local Development,
Annual Report, 1985-86
Team Planning Meeting Reference Handbook, DPMC/TAD/OICD/USDA,
June 1984, prepared by Merlyn Kettering et. al.

RESEARCH MONOGRAPHS

Maniema Tongsawate (Thongyou), Coordination Between Governmental
and Non-governmental Organizations in Thailand's Rural
Development, HSD Research Monograph, n. 815, Asian Institute
of Technology, Thailand
Korten, David. "Micro Policy Reform: The Role of Private
Voluntary Development Agencies," NASPAA Working Paper No.
12, Washington D.C.: NASPAA, August 8, 1986
Louise G. White. "PVO Assistance and Institutional Development:
Evaluation Guidelines II," Washington D.C.: International
Science and Technology Institute, June 1986.

APPENDIX 6

Indigenous (I)PVOs Registered with USAID

IPVOS currently registered with USAID

Christian Womens' Department, Foundation of the Church of Christ
Duang Prateep Foundation
Foundation for Thailand Rural Reconstruction Movement (TRRM)
Friends of Women's World Banking Association of Thailand (FWWB)
Mae Fah Luang Foundation (formerly Thai Hill-Crafts Foundation)
National Council of Social Welfare of Thailand
National Council of Women of Thailand
National Young Women's Christian Association of Thailand (YWCA)
Pan Pacific and South-East Asia Women's Association of Thailand
Planned Parenthood Association of Thailand YMCA, Bangkok
Population and Community Development Association (PDA)
SVITA Foundation
Wildlife Fund of Thailand
Women Lawyers Association of Thailand

IPVOs in the process of registering with USAID

Christian Foundation for the Blind
Girl Guides Association of Thailand
Harry Durance Foundation for Education in Thailand
Health Association of Thailand
Rural Friends Association
Thai DHARRA Foundation
Thai Environmental and Community Development Association
Thailand Management Association

USAID/THAILAND
O/INT

PYO/OPG PROGRAM ACTIVITIES -- FY-1976

PROJ. No. 490-0251: Private & Voluntary Organization

Date: 09/30/86 (0062R, 0008R)

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
1.	Rural Women's Development Program. AID/EA-G-1103	TAF subgrant to Girl Guides Assn. of Thailand (TAF/GGAT)	77,845	55,000 (70.65%)	22,845 (29.34%)	9/30/75	9/30/79	COMPLETED
2.	Credit Union and Credit Union Training Development AID/EA-G-1104	TAF subgrant to Credit Union League of Thailand (TAF/CULT)	110,810	57,650 (52.02%)	53,160 (47.98%)	9/30/75	9/30/79	COMPLETED
3.	Food & Nutrition Devel. AID/ASIA-G-1152	TAF subgrant to Prince of Songkla Univ. (TAF/PSU)	167,565	133,765 (79.82%)	33,800 (20.17%)	6/25/76	2/09/79	COMPLETED
4.	Village Community Devel. AID/ASIA-G-1167	'Y' USA subgrant to 'Y' Chiang Mai	513,120	142,670 (27.80%)	370,450 (72.20%)	6/25/76	12/31/79	COMPLETED
5.	Better Family Living AID 493-126-1	Thai Home Economics Assn.	152,293	99,910 (65.60%)	52,375 (34.40%)	9/20/76	9/30/79	COMPLETED
TOTAL			1,021,614	489,011	532,603			
PERCENTAGE AVERAGE			100%	(47.86%)	(52.14%)			

USAID/THAILAND
O/INT

PYO/OPG PROGRAM ACTIVITIES -- FY-1977

PROJ. No. 490-0251

- 2 -

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
6.	Integrated HFE to Promote Development Among Hilltribes in Northern Thailand. AID 493-7002-1	World Education, Inc./ Adult Ed. Division, HOE (WEI/HOE).	312,160	172,515 (55.26%)	139,645 (44.73%)	11/16/76	9/30/79	COMPLETED
7.	Artificial Fish Propagation Project. AID 493-7015-1	Foundation for the Promotion of Scouting in Thailand (FPST/BSI)	200,000	125,000 (62.50%)	75,000 (37.50%)	7/01/77	3/31/82	COMPLETED
8.	Development of Rural Youth Agriculture Club. AID 493-7017-1	National 4-H Council/ Min. of Agriculture and Cooperatives (MOAC)	438,825	247,025-OPG 50,000-COFI 297,025 (67.87%)	141,000 (32.13%)	8/30/77	1/31/81	COMPLETED
TOTAL			950,985	595,340	355,645			
PERCENTAGE AVERAGE			100%	(62.60%)	(37.40%)			

USAID/THAILAND
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PYO/OPG ON-GOING ACTIVITIES DURING
FY-1978
PROJ. No. 490-0251

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No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
9.	Rural Infant & Child Care Centers AID/ASIA-G-1305	TAF - subgrant to JVALAN Institute (TAF/JVALAN)	527,213	322,409 (61.15%)	204,804 (38.85%)	2/01/78	11/30/82	COMPLETED
10.	Training for PYOs AID 493-8001-T	Development Assistance Services (DAS)	29,051	21,351 (73.49%)	7,700 (26.50%)	3/20/78	9/30/78	COMPLETED
11.	Development of Ban Nam Tao Hospital AID 493-0002-T	Tom Dooley Heritage, Inc. (TDHI-1)	211,550	75,000 (35.45%)	136,550 (64.54%)	4/01/78	9/30/79	COMPLETED
12.	Development of AG Cooperative in Thailand AID 493-0003-T	Cooperative Leagues of USA/Coop. Resources Committee of Thailand (CLUSA)	239,350	165,000 (68.93%)	74,350 (31.06%)	5/11/78	3/30/79	COMPLETED
13.	Hilltribe Youth Leadership Training AID 493-0004-T	Thai Hill Crafts Foundation (THCF)	52,585	3,405 COF 32,000 OPG 35,405 (67.48%)	17,100 (32.52%)	6/21/78	10/20/82	COMPLETED
14.	Skills Training for Rural Youth AID 493-8007-T	TAF -- subgrant to Girl Guides Assn. of Thailand (TAF-GGAT) -- GGAT II	226,701	166,701 (73.53%)	60,000 (26.47%)	8/18/78	3/31/82	COMPLETED
15.	Amerasian Outreach AID 493-8008-T	Pearl S. Buck Foundation (PSBF)	266,700	150,000-OPG 50,000-COF 200,000 (74.99%)	50,000 16,700 66,700 (25.01%)	8/24/78	8/23/82	COMPLETED
16.	Promotion of Rural Development Through Women AID 493-8015-T	National Council of Women of Thailand (NCWT)	53,250	29,000 (54.46%)	24,250 (45.54%)	8/28/78	8/27/80	COMPLETED
17.	Tobacco Development Project AID 493-8020-T	International Human Assistance Programs, Inc. (IHAP)	357,200	249,200 (69.76%)	108,000 (30.23%)	9/28/78	11/30/80	COMPLETED
18.	Women's Development Through Non-Formal Education AID 493-8021-T	Catholic Relief Services (CRS)	1,094,300	470,300 (43.70%)	616,000 (56.29%)	9/28/78	3/31/82	COMPLETED
TOTALS			3,057,900	1,742,446 (56.98%)	1,315,454 (43.02%)			

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USAID/THAILAND
D/HR

PYO/DPG PROGRAM ACTIVITIES -- FY-1979

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PROJ. No. 498-0251

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
19.	Implementation of Agricultural Coop. Plan. AID 493-9018-T	Cooperatives League of the USA. (CLUSA II)	300,150	225,000 (74.96%)	75,150 (25.04%)	7/01/79	6/30/80	COMPLETED
20.	Education & Medical Services for Children in Klong Toey Slum. AID 493-9020-T	Catholic Relief Services (C.R.S. II)	129,000	50,000 DPG 10,000 COFI 25,000 COFI 93,000 (72.10%)	06,000 (27.90%)	0/31/79	0/31/03	COMPLETED FY-82 (\$25,000) FY-80 (\$10,000)
21.	Assistance to Amerasians AID 493-9021-T	The Pearl S. Duck Fdn. (P.S.D.F. II)	213,400	135,000 DPG 25,000 COFI 160,000 (74.98%)	53,400 (25.02%)	0/31/79	0/31/82	COMPLETED
22.	Development of Ban Nam Yao Hospital (Tom Dooley Memorial Hospital) AID 493-9026-T	Tom Dooley Heritage, Inc. (T.O.H. II)	814,520	300,000 137,000 COFI 517,000 (63.50%)	200,150 97,370 297,520 (36.50%)	9/28/79	12/30/83	COMPLETED \$140,000 - FY 79 \$240,000 - FY 80 \$137,000 - FY 82 (Amendment 3 dated Sept. 14, 1983 for 3 months grant extension)
T O T A L			1,457,070	995,000 (68.30%)	462,070 (31.70%)			

USAID/THAILAND
D/HR

PYO/CO-FI PROGRAM ACTIVITIES -- FY-1980

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Proj. No. 493-0296 -- PYO CO-FINANCING

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
23.	Rural Vocational Training & Nutrition Project AID 493-0007-T	YMCA (USA) sub-grant to "Y" BANGKOK	327,555	231,340 (70.63%)	96,215 (29.37%)	3/01/80	6/30/82	COMPLETED
24.	NFE for Low Income Women in Northeast Thailand AID 493-0022-T	Overseas Education Fund (O.E.F.)	54,420	30,695 (71.10%)	15,725 (28.90%)	7/23/80	10/31/81	COMPLETED
25.	Community Services Center for Disadvantaged Children AID 493-0026-T	International Human Assistance Programs, Inc. (I.H.A.P. II)	111,297	73,945 (66.44%)	37,352 (33.56%)	0/31/80	9/30/82	COMPLETED
26.	A Village Management System for Integrated Rural Development AID 493-0034-T	Thailand Rural Reconstruction Movement (T.R.R.M.)	221,062	130,000 (62.20%)	03,062 (13.80%)	0/31/80	0/31/83	COMPLETED Start-up date delayed until 1/10/81
FY-80 TOTAL			715,134	481,980 (67.40%)	233,154 (32.60%)			

USAID/THAILAND
O/HR

PVO/CO-FI PROGRAM ACTIVITIES -- FY-1983

Proj. No. 493-0296 -- PVO CO-FINANCING

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No.	PROJECT/GRAANT No.	AGENCY	TOTAL \$	USAID \$	PVO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
27	Expansion of Yuva-Easetkorn (4-II) Program AID 493-0296-G-SS-1005-00	4-II/NUAC (2)	1,343,466	492,466 (36.52%)	856,000 (63.48%)	1/27/81	7/31/83	COMPLETED FY-81 (\$425,260) FY-82 (\$ 67,206)
28	Youth Development Project AID 493-0296-G-SS-1003-00	I H A P (3)	470,786	311,836 29,900 341,746 (72.60%)	129,000 (27.40%)	2/02/81	1/31/85	COMPLETED FY-81 (\$311,716) FY-84(A-2 provides \$29,900 w/1 year ext. till 1/31/85)
29	Thailand's Deaf Community Project AID 493-0296-G-SS-1035-00	I H A P (4)	357,360	59,315 59,500 134,935 20,000 273,750 (76.60%)	31,610 45,000 83,610 (23.40%)	6/30/81	8/31/85	COMPLETED FY-83(A-1 provides \$59,500 w/1 year ext. till 12/31/83 A-2 ext. till 3/31/84 FY-84(A-3 provides \$134,935 w/1 year ext. till 3/31/85) FY-85(A-4 provides \$20,000 w/5 mo. ext. till 3/31/85)
30	Y-K Foundation Initiating Project AID 493-0296-G-SS-1043-00	4-II/YKF (3)	197,935	147,935 (74.74%)	50,000 (25.26%)	9/01/81	8/31/84	TERMINATED (4/01/84) FY-81 (\$74,740) FY-82 (\$73,195)
31	Training for Social Development AID 493-0296-G-SS-1050-00	TAF/CSWT	305,011	228,751 (75.00%)	76,250 (25.00%)	9/31/81	3/20/83	COMPLETED FY-81 (\$75,349)

USAID/THAILAND
O/HR

PVO/CO-FI PROGRAM ACTIVITIES -- FY-1984

Proj. No. 493-0296 -- PVO CO-FINANCING

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No.	PROJECT/GRAANT No.	AGENCY	TOTAL \$	USAID \$	PVO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
32	Food & Nutrition-- Rural Devel. Center for Southern Thailand AID 493-0296-G-SS-2018-00	TAF/PSU (F&N Phase II)	590,200	422,000 (71.50%)	168,200 (28.50%)	3/30/82	9/30/85	COMPLETED FY-82 (\$300,000) FY-83 (\$137,000) per Amendment 3 dated June 14, 1983 A-4 dated July 6, 1984 - provides 6 months extension till 9/30/85 A-5 decreased \$15,000 June 19, 1985
33	Rural Devel. thru N.F.E. & Vocational Training for Women AID 493-0296-G-SS-2033-00	C.R.S. (3)	277,126	152,100 (54.90%)	125,026 (45.10%)	6/09/82	6/09/85	COMPLETED FY-82 (\$100,000) FY-83 (\$ 52,100) per Amendment 1 dated March 1, 1983
34	Rural Outreach Program AID 493-0296-G-SS-2012-00	TAF/PSU (Koo Tau)	228,940	162,714 (71.07%)	66,224 (28.93%)	8/16/82	10/31/85	COMPLETED FY-82 (\$100,000) FY-83 (\$ 71,714) per Amendment 2 dated June 13, 1983 A-3 decreased 19,000 with two weeks extension: June 19, 1985 A-4 extended two months dated August 8, 1985

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No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
35.	Vocational Center for Young Girls in Korat AID 493-0296-G-SS-2043-00	T.W.C.A	99,509	66,700 (67.00%)	32,809 (33.00%)	8/25/82	8/25/85	COMPLETED FY-82 (\$66,700) A-1 allowed shift of budget line items for day care center construction dated May 9, 1985
36.	Southern Thailand Experimental Project AID 493-0296-G-SS-2049-00	WEI/DHFE	661,515	396,205 (59.91%)	265,230 (40.09%)	8/31/82	12/31/85	COMPLETED FY-82 (\$267,329) FY-83 (\$ 11,802) per Amendment 1 dated August 24, 1983 FY-84 (A 2 - \$126,074 : June 11, 1984) A-3 decreased \$9,000 June 19, 1985 A-4 shifted deb. line item dated Aug. 9, 1985 A-5 Extended till 12/31/85 dated Aug. 19, 1985
37.	Assistance to Older Amerasians AID 493-0296-G-SS-2058-00	P.S.O.F. (3)	84,000	63,000 (75.00%)	21,000 (25.00%)	9/20/82	9/20/85	COMPLETED FY-82 (\$63,000)
		FY-82 TOTAL	1,941,378	1,262,799 (65.05%)	678,579 (34.95%)			

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
38.	Southern Youth Enterprise Development AID 493-0296-G-SS-3009-00	International Human Assistance Programs, Inc. (I.H.A.P. 5)	645,275	457,074 (70.83%)	188,201 (29.15%)	3/01/83	11/31/85	COMPLETED FY-83 (\$376,000) FY-84 (A 1 - \$102,074: June 11, 1984) A-2 decreased \$20,000 June 19, 1985 A-3 decreased \$1,000 dated August 9, 1985
39.	Community Based Integrated Tambon Development AID 493-0296-G-SS-3011-00	Save the Children Federation (S.C.F.)	544,820	317,370 (58.27%)	227,500 (41.73%)	1/15/83	1/31/86	COMPLETED FY-83 (\$136,000) FY-84 (A-1 provides \$219,527: June 11, 1984) A-2 decreased \$38,207 June 19, 1985
40.	Hilltribe Youth Training and Village Development AID 493-0296-G-SS-3012-00	The Thai Hill Crafts Foundation (T.H.C.F. 2)	265,014	120,040 2,600 32,375 2,650 157,575 (59.46%)	91,004 16,355 107,339 (40.54%)	3/17/83	12/31/85	COMPLETED FY-83 (\$120,000) FY-83 (\$ 2,600) per Amendment 1 dated June 27, 1983 FY-84 (\$37,325) A-2 dated July 26, 1984 FY-84 (\$2,650) A-3 dated August 31, 1984 A-4 extended one month dated August 5, 1985
		TOTAL	1,456,109	932,969 (64.14%)	523,140 (35.86%)			

No.	PROJECT/GRANT No.	AGENCY	TOTAL \$	USAID \$	PVO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
41.	Self-Employed Women AID 493-0296-G-55-4020-00	International Human Assistance Programs, Inc. (I.H.A.P. 6)	327,782	244,947 (75.00%)	82,835 (25.00%)	4/25/84	10/25/85	COMPLETED FY 84 (\$244,947) A-1 extended 3 months till Jan. 25, 1986 dated August 30, 1985
42.	Law School Programs for Promoting Legal Literacy AID 493-0296-G-55-4052-00	TAF(9)/Chulalongkorn and Thammasat Universities	45,333	32,000 (70.00%)	13,333 (30.00%)	9/01/84	9/01/85	COMPLETED FY 84 (\$32,000)
43.	Rain Water Collection and Storage AID 493-0296-G-55-4055-00	Population and Community Development Association (PDA)	209,835	150,740 (72.00%)	59,095 (28.00%)	8/01/84	8/01/85	COMPLETED FY 84 (\$150,740)
		TOTAL	582,950	427,607 (73.00%)	155,263 (27.00%)			

No.	PROJECT/GRANT No.	AGENCY	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
1.	Accelerated Development Program for Women in Small Business GR-493-0342-G-SS-5005-00	Friends of Women's World Banking Association in Thailand (FWBWT)	450,000	1,605,000* (356%)	00/19/05	00/10/00	FY 05 (\$450,000)
2.	Kho Hong Resources Formation GR-493-0342-G-SS-5092-00	Cooperative for American Relief Everywhere (CARE)	357,000	149,700 (42.00%)	09/18/05	09/17/00	FY 05 (\$357,000)
3.	The Disabled People of Thailand and the Comprehensive Rehabilitation Act GR-493-0342-G-SS-5091-00	International Human Assistance Programs, Inc. (IHAP)	111,700	20,000 (25.00%)	09/19/05	03/18/07	FY 05 (\$111,700)
T O T A L			910,700	1,702,700 (194%)			

* This amount includes loan collateral and credit line.

No.	PROJECT/GRANT No.	AGENCY	USAID \$	PYO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
4.	Remote Area Youth Training and Village Development GR-493-0342-G-SS-6006-00	Hae Fah Luang (Thai Hillcrafts) Foundation	40,000	102,000* (455%)	01/01/06	12/31/09	FY 06 (\$10,000)
5.	A Project to Strengthen and Expand Educational and Vocational Services for the Blind in Thailand GR-493-0342-G-SS-6031-00	Heien Keller International Incorporated (HKI)	246,727	335,290 (135%)	04/29/06	04/20/00	FY 06 (\$246,727)
6.	Thai Sign Language Dictionary, Book II GR-493-0342-G-SS-6008-00	International Human Assistance Program, Inc. (IHAP)	215,915	115,000 (53.00%)	09/04/06	09/03/00	FY 06 (\$215,915)
7.	Vocational Skills Training for Students in Private Islamic Religious Schools GR-493-0342-G-SS-6009-00	The Asia Foundation (IAF)	149,606	107,580 (69.00%)	09/09/06	09/00/09	FY 06 (\$149,606)
8.	Vocational Skills Training for Young Women in Korat GR-493-0342-G-SS-6090-00	The Young Women's Christian Association of Thailand (YWCA)	30,700	10,577 (34.00%)	00/29/06	00/20/09	FY 06 (\$30,700)

* The grantee's contribution to the project is the interest from Baht 10,000,000 Government Bonds with approximately 12.25% per annum of tax free interest.

USAID/THAILAND
D/INT

PVO/CO-FI PROGRAM ACTIVITIES -- FY-1986

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Proj. No. 493-0342 -- PVO CO-FINANCING II

No.	PROJECT/GRANT No.	AGENCY	USAID \$	PVO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
9.	Children's Health and Environment Magazine GR-493-0342-G-55-6103-00	Cooperative for American Relief Everywhere (CARE)	344,643	118,596 (34,001)	09/11/86	09/10/89	FY 86 (\$344,643)
10.	Udon Micro Enterprise Extension Project GR-493-0342-G-55-6102-00	Cooperative for American Relief Everywhere (CARE)	115,709	40,019 (35,701)	09/11/86	09/10/87	FY 86 (\$115,709)
		TOTAL	1,143,300	904,462 (79,101)			

USAID/THAILAND
D/INT

REGIONAL PVO PROGRAM ACTIVITIES -- FY-1986

- 15 -

Proj. No. 390-0251 - REGIONAL PVO

No.	PROJECT/GRANT No.	AGENCY	USAID \$	PVO/OTHERS \$	PROJECT BEGAN	PROJECT ENDS	STATUS
11.	Assistance to Older Amerasians GR-390-0251-93-G-00-6005-00	Pearl S. Buck Foundation (PSBF)	72,000	24,000 (33,001)	00/26/86	08/25/89	FY 86 (\$72,000)
12.	Legal Dissemination and Leadership Roles Awareness Program of Women in Southern Thailand GR-390-0251-G-55-6101-00	The Asia Foundation (TAF)	30,073	14,700 (49,001)	09/09/86	09/00/87	FY 86 (\$30,073)
		TOTAL	102,073	38,700 (30,001)			

APPENDIX 8
Evaluation of Co-Fi I

I. EXECUTIVE SUMMARY

A. Problem and Overview. In the overall development strategy of the RTC there is interest in multiplying and improving local-level private sector development efforts. A history of voluntarism exists in Thailand and the Buddhist encouragement of "making merit" through acts of generosity support this interest in involving private voluntary organizations (PVOs) in development activities.

B. U.S. Assistance. During the period of 1976-79, AID funded 18 PVO projects in Thailand under the Asia Regional Project, "Private and Voluntary Organizations." In 1980, the PVO Co-Financing Project was initiated to continue this funding (Project Number 495-0296; \$5 million over 5 years). PVO Co-Financing was to allow project review, approval and funding to occur at the Mission level, thus giving AID flexibility to respond to PVO proposals in less time. Each AID supported PVO project is reviewed by the RTC through the Department of Technical and Economic Cooperation which, in turn, clears it with the appropriate Ministries and governmental agencies.

C. Purpose of Evaluation. The purposes of this evaluation are 1) to assess the extent to which the project purpose has been achieved; 2) to assess the management of PVO sub-projects; 3) to assess the effectiveness and impact of PVO sub-projects; 4) to assess the effectiveness of the sub-project approval process; and 5) to make recommendations for the design of PVO Co-Financing II.

The evaluation team, consisting of two U.S.-based private consultants, reviewed all project documents, interviewed appropriate AID, RTC and PVO headquarters staff, met with PVO operational staff and visited project sites of fifteen projects.

D. Findings.

1. The PVO Co-Financing project has been effective and should continue into a second phase. A number of lessons have been learned about PVO work in Thailand which can be used to good advantage in the coming phase.

2. The financial management practices of the PVOs were good, while their progress reports were often late and sometimes non-existent.

3. The weakest aspect of PVO projects is in their project designs. While the agencies are good at identifying needs and target groups, they frequently fail to specify reasonable outcomes for their project efforts that can be assessed through monitoring and evaluation.

4. AID supported PVOs in Thailand have been effective in reaching the rural poor and many have worked with the poorest of the poor.

5. The projects we reviewed varied widely in their definitions and degree of participation and, in only two cases, the mode of participation seemed important to the distribution of benefits.

6. All projects except one have left behind a sustained aspect of activity. These ranged from new institutions, to on-going groups, to strengthened government activities.

7. Little replication has taken place from the projects reviewed. Many aspects would justify replication; the problem lies in a failure to disseminate lessons learned.

8. Direct support to IPVOs was not increased through the Co-Financing Project.

9. Staff assignments and responsibilities in AID O/HRT are unclear and in transition, and work loads are undermining staff morale.

10. The belief that PVOs are "management intensive" for AID was not borne out in our review.

11. Project selection criteria are more complicated than necessary and the selection process should be clarified.

12. Approval time for PVO sub-projects appears not to have been shortened by the Co-Financing arrangement.

13. The number of sub-projects receiving AID support, the funding schedules and project costs appear appropriate.

E. Recommendations and Policy Implications for USAID

1. USAID/T should concentrate its PVO management time on the design phase of projects and should encourage careful consideration of outcomes and impacts and ways of assessing these during and after projects.

2. AID O/HRT should undertake a review of staff responsibilities to clarify these. No additional staff should be hired until this is done.

3. The selection process for projects should be regularized and the selection criteria should be simplified and published to the PVO community.

4. USAID/T should determine its priority on strengthening Thai PVOs and make appropriate management arrangements to support its decision.

5. USAID/T should support an effort to collect and disseminate lessons from project experiences which warrant replication.

6. In project design, AID should encourage the use of revolving loan funds; insist that market research be done prior to any plans for production or training; and ensure that leadership training and community development efforts incorporate an action component around which changes in participants' skills may be assessed.

Appendix 9

Suggested RTG/USAID/PVO Processing Procedures and Time Frames

ACTION	TIME ALLOWED
1. Dissemination of general information and guidelines on USAID's PVO program. (PSD)	on-going
2. Registration of Thai PVOs (PSD, CPA firm)	on-going
3. Project design, implementation and evaluation training and technical assistance for staff of Thai and USPVOs. (Training contractor and PSD PVO consultant)	on-going
4. Letters regarding funding priorities, deadlines for concept papers, and proposals sent to selected PVOs. (PSD, PVO consultant)	eliminate deadline
5. Initial informal consultation with PVO to discuss subproject ideas and appropriateness for USAID funding. (PSD, PVO consultant)	1-2 hours
6. Concept paper developed and submitted to USAID for consideration. (PVO)	on-going
7. Review of concept paper. If not approved, USAID informs PVO and provides reasons. If approved, paper is sent to DTEC with USAID comments for consideration. (USAID, PRC, PSD)	1 week
8. DTEC reviews concept paper; consults with other RTG offices if necessary and provides USAID with objection/no objection decision. (DTEC)	1 week
9. Funds are provided for analyses, baseline data collection, etc., if deemed necessary, during review of concept paper. (PSD, Technical Officers)	As required
10. If DTEC has no objection, proposal is developed in consultation with appropriate RTG central, regional, provincial, district, sub-district, village, university or other entity. (PVO and subproject counterparts)	4-5 weeks
11. Proposal is submitted to USAID for review and approval/disapproval. PVO is informed of disapproval. If approved, DTEC is informed and a copy of the proposal is sent for information. (PSD, USAID PRC)	2 weeks

- | | |
|--|--|
| 12. DTEC reviews proposal and provides approval/disapproval response to USAID. (DTEC, concerned RTG offices, PVO and PSD) | step is eliminated if step 11 is implemented |
| 13. If proposal requires modification, revisions are made and resubmitted to USAID. (PVO) | 1 week |
| 14. If funds are available, grant agreement is prepared, negotiated and signed. Copy of agreement is sent for information to DTEC. (PSD, EXO) | 2 weeks |
| 15. Project is implemented and regular monitoring requirements are carried out by USAID; two site visits are made annually by USAID; joint project assessment conducted at mid-term; final PVO evaluation conducted at end of project period. (PVO, PDS) | on-going |
| 16. Results of project are disseminated through publication of documents, information-sharing activities, on-going (seminars, libraries, development agencies, PVOs, etc.). (PDS, PVO, others) | as required |
| 17. Impact evaluations conducted for selected activities several years after their completion; project design/support funds utilized (PDS, PVO, outside evaluation team.) | as required |

Criteria for Subproject Selection

USAID/THAILAND
PROJECT SUPPORT DIVISION
PREREQUISITES, CRITERIA, AND PREFERENCES
FOR PVO CO-FINANCING II SUBPROJECT SELECTION

I. Prerequisites

PVOs for receiving USAID funding projects must be registered with AID/Washington (U.S. PVOs) or with USAID/Thailand (non-U.S. PVOs including Thai PVOs).

II. Criteria

Proposed projects must meet all of the following criteria:

- 1) The project must fall within one of the three following categories:
 - a) Development of the socio-economically disadvantaged (e.g., women, rural youth, handicapped persons, ethno-linguistic minorities, the urban poor),
 - b) OR the project must promote narcotics awareness,
 - c) OR focus on environmental issues.
- 2) The needs of the target population for the project's activities must be well-defined.
- 3) The proposed methodology must be appropriate for achieving the stated goal.
- 4) The project must be development rather than relief oriented; and the proposal must demonstrate the potential for discernable long-term effects on development methodologies used in Thailand. This could be demonstrated through replicability, sustainability, policy impacts, institutional changes, etc.
- 5) The proposed activity must not be inconsistent with RTG development strategies. This also includes RTG perceptions about allowing organizations to work in sensitive areas.
- 6) Administration of the project must be within the capabilities of the PVO. This might be demonstrated through records of previous projects, particularly those in Thailand; staffing information; financial data; etc.
- 7) A minimum of 25 percent of project funds in cash or in kind must come from non-AID sources. These funds must be clearly identified and their source deemed appropriate for a USAID Co-Financing venture. In

addition, the proposal must (a) demonstrate that the proposed methodology is a cost-effective means of reaching the stated goal and (b) include a sound financial plan for project implementation.

8) The project proposal must contain a plan for evaluating the project, including a plan for collection of baseline data if needed.

III. Preferences

Throughout the PVO Co-Financing II Project, preference will be given to those proposals which, in addition to meeting the above requirements, address any/all of the following points:

1) Proposals that strengthen institutional capacities of local entities/groups.

2) Proposals that have greater percentage of project funds coming from non-USAID sources.

3) Proposals which do not require USAID contributions in excess of Dols. 250,000 so as to enable more PVOs to participate in the PVO Co-Financing project.

4) Proposals with the greatest likelihood of sustainability/replicability without additional USG funding.

5) Issues/sectors that are emphasized in the USAID strategy for Thailand, including our Women in Development Policy.

PSD 04/01/87



U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

AMERICAN EMBASSY
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

BANGKOK, THAILAND

TELEPHONE: 252 8191-9

Guidelines for Registering PVOs with USAID

Subject: Registration of Private and Voluntary Organizations for Participation in AID Supported Programs

Dear

Procedures have recently been established by the Agency for International Development, Washington, D.C. for registering Private and Voluntary Organizations for participation in AID financially supported programs. Registration of U.S. based Private and Voluntary Organizations is being handled by AID/Washington. All foreign (non-U.S.) Private and Voluntary Organizations desiring an assistance relationship with AID are required to establish their eligibility for such a relationship through a formal registration process with USAID.

In order to meet the requirements for formal registration, an organization must demonstrate and provide acceptable evidence that:

- a. It is a legal entity organized under laws of the country in which it is domiciled.
- b. It is a non-government entity, and the activities it proposes to accomplish with AID funding are non-religious.
- c. It operates on a not-for-profit basis and has tax exemption under the laws of its country of domicile/operation, if such laws exist and are appropriate.
- d. It must be engaged in, or have the potential to engage in, voluntary charitable or development assistance operations of a type consistent with the purposes and objectives set forth in the U.S. Foreign Assistance Act.

e. It is financially solvent and has financial resources along with the demonstrated management capability of sufficient substance to enable it to perform its normal functions in the absence of AID support.

f. It is controlled by an active and responsible governing body which holds regular meetings and maintains effective policy and administrative control.

g. Under its own established priorities and programs, it obtains, expends, accounts for its funds and resources in conformity with accepted accounting, business and ethical standards. The annual expenditure of funds for promotion, publicity, fund raising, administration and overhead costs does not exceed 20% of the total annual budget of the organization.

Since your organization may submit or has submitted a project proposal to USAID for financial support under the Private and Voluntary Organizations grant program, you must first satisfy the registration requirements. Therefore, you are requested to furnish USAID the following information and supporting documents for our consideration.

a. Articles of incorporation, by-laws, constitution, or other relevant documents which described the purpose of the organization, its method of management, and scope of program.

b. Copy of statement of tax exemption, if available.

c. Latest financial statement prepared by an independent (chartered) accountant/auditor who can certify, in accordance with generally accepted accounting principles, that the organization is financially solvent and maintains an acceptable set of accounting records.

d. Current budget, detailing sources of income, administrative (personnel and related overhead) expenses, and program costs.

e. Annual report of program activities (within last year) or document of similar import.

f. Names, addresses, citizenship of members of Board of Directors; average number of times Board meets in a year.

Upon receipt of the above listed information and documents the USAID will advise you if you meet the requirements for registration and eligibility for participation in the program. Those organizations participating and receiving financial grants from USAID are required to report to USAID annually within 30 days after the close of the fiscal year the following:

a. Annual financial statements, preferably audited, including a statement of income and expenditures.

b. Current operational year budget detailing sources of income, administrative expenses and program costs.

This information may be provided as part of annual progress reports for ongoing projects.

Questions concerning these procedures should be addressed to the Office of Human Resources and Training, USAID/Thailand.

Sincerely yours,

FOREIGN PRIVATE AND VOLUNTARY ORGANIZATION
CERTIFICATE OF ELIGIBILITY

Country: _____

Principal PVO Officer: _____

Official Name of Foreign PVO:
and Community Development Association _____

Address: _____

Note: Certificates for Regional Foreign PVOs will be certified by the Regional Bureau AA, on the recommendation of the USAID Director or appropriate State Department Official; International and Third Country PVOs will be certified by the AA for PDC, on the recommendation of the USAID or Embassy Official.

For Host Country PVOs: Appropriate USAID or Embassy Officer Certifies that:

Pursuant to A.I.D. policy and guidelines approved March 15, 1978, relative to foreign private and voluntary organizations, I hereby certify that the above entity meets the basic conditions for eligibility to seek U.S. Government resources.

Approval - Name: _____

Title: _____

Date: _____

For Regional and International PVOs: Appropriate Regional Bureau or PDC Assistant Administrator Certifies that:

Pursuant to A.I.D. policy and guidelines approved March 15, 1978, relative to foreign private and voluntary organizations, I hereby certify that the above entity meets the basic conditions for eligibility to seek U.S. Government resources.

Clearances: USAID/Embassy Officer

Approval:

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Attachment: Summary Description

FOREIGN PRIVATE AND VOLUNTARY ORGANIZATION
SUMMARY DESCRIPTION

Date Application Received: _____

Name of PVO: _____

Hailing Address: _____

President of Organization: _____
(Name) (Title)

A.I.D. Action Officer: _____

* * * * *

Fiscal Year: _____ Income: _____ Expenditures: _____

Status Relating to A.I.D. Resources:

A. Receiving: _____ B. Seeking: _____

1. Is the organization a legal entity within the country in which it is domiciled? Describe the purpose, noting whether the organization is philanthropic and/or public service oriented and nonprofit, nongovernmental, nonpolitical.

2. What types of governmental approvals, licenses, etc., and/or Articles of Incorporation, Bylaws affirm the legal status, purpose and nonprofit, nongovernmental, nonpolitical nature.

3. Describe the method of operation, nature of normal functions, area of expertise; constituency; years in operation; size of staff; and programs and budget projected for its next fiscal year.

4. Are the activities the organization is engaged in voluntary charitable or development assistance operational in nature of a type consistent with the FAA or PL 480?: Yes _____; No _____. Are the operations consistent with the purposes described in the application and supporting documents submitted to A.I.D.: Yes ___; No _____.

5. Describe the activities expected to be conducted with A.I.D. funding. Are these other than religious in nature?: Yes _____; No _____. Discuss any pertinent aspects, as necessary.

6. If the organization is tax exempt, what is the effective date and duration of the exempt status, the nature of the authorizing entity, and the key factors in the determination.

7. If the organization is not currently engaged in voluntary charitable or development assistance operations, does it have the potential for becoming so engaged?: Yes _____; No _____. Summarize the indicators supporting the conclusion.

8. What reviews of financial accounts have taken place? For example: Are financial statements rendered by chartered accountants in accordance with generally accepted accounting principles? What conclusions can be drawn regarding the financial viability of the organization?

9. Summarize grounds for concluding whether or not the organization has financial resources and demonstrated management capability of sufficient substance to enable it to perform its normal functions in the absence of A.I.D. support.

10. How are the operations of the organization controlled? Describe the nature, authorities and obligations of the governing body, the functions it performs, actions it takes, number and regularity of meetings, presence/absence of quorum-and other factors relevant to the question of the effectiveness of the policy and administrative control of the governing body.

11. Summarize the evidence submitted/available relative to whether or not the organization establishes its own priorities and programs. Does the organization obtain, expend and distribute funds and resources in conformity with accepted ethical standards in the country or countries in which it operates?: Yes _____; No _____. Describe the essential standards in the context of the host country.

12. Note costs for promotion, publicity, fund raising and administration. In registering U.S. organizations, the cost of fund raising is figured as a percentage of cash and in-kind contributions- 20% or above being sufficient to warrant seeking explanatory information. Administrative costs (including fund raising costs) are reviewed on a case-by-case basis; where program expenditures are less than 50% of total expenditures, the situation is explored to identify the contributing factors.

DOCUMENTATION REVIEWED BY CERTIFYING OFFICER

- 1. Articles of Incorporation, Bylaws, Constitution, Other _____

- 2. Copy of Statement of Tax Exemption _____
- 3. Latest Financial Statement - Prepared by independent (chartered) accountant/auditor. _____
- 4. Current Budget - Detailing sources of income, anticipated personnel and related overhead expenses, and program costs. _____
- 5. Annual Report of Program Activities - or document of similar import. _____
- 6. Names, addresses, citizenship of members of Board of Directors; and average number of times meets annually. _____

1/ NOTE: In the absence of any of the specified documents listed above, indicate below the type of material received as a substitute:

PDC/PVC/PLD:6/5/78

APPENDIX 12
Guidelines for Concept Papers and Proposals

USAID/THAILAND
PROJECT SUPPORT DIVISION
GUIDELINES FOR PREPARATION OF CONCEPT PAPERS FOR
PVO CO-FINANCING GRANTS

Project Title:
Total AID Request:
Total Value of Other Resources:
Project Location:
Project Duration:
PVO Name and Address:
Central Headquarters:
Contact Person:
Date of Submission to USAID:

The following items should be addressed as concisely as possible:

I. SUMMARY PROJECT STATEMENT:

State briefly (one or two paragraphs) what you intend to do with the requested AID funding, how you will do it, and why.

(The following sections basically require elaboration of the summary statement. Each section addresses issues AID considers in comparing concept papers; the responses should demonstrate why a particular project deserves consideration.)

II. PROBLEM:

Describe the problem or problems which you are attempting to address during the project's life.

Tell how you became involved in work related to this problem.

III. WORK TO DATE:

State what has been done by your organization or others in solving this problem to date. If nothing has been done, simply state so. Comment on your relevant capacity to address the problem.

IV. JUSTIFICATION:

Outline the reasons for the proposed project.

V. BENEFICIARIES:

- State roughly how many people will benefit directly, and who they are.
- State the criteria you will use in choosing beneficiaries.
- If possible, estimate project cost per direct beneficiary.

VI. GOALS AND OBJECTIVES:

1. State clearly the project goal, that is, what the project is supposed to influence.

2. State the major objectives as specifically as possible, using measurable or objectively verifiable terms.

VII. PROJECT OUTLINE AND HOW IT WILL WORK:

Describe what you plan to do, and how this is expected to achieve the project goals and objectives.

VIII. POST PROJECT EXPECTATIONS:

Explain to what extent and how you expect to achieve continuation and replication. Will the project cease at the end of the OPG/PVO Co-Financing? Is there a plan to continue it and if so, through what organizational entity and how will it be funded?

IX. FINANCIAL NARRATIVE:

Describe the resources required in order to carry out this project. This should include cash resources and their sources, commodity inputs, and volunteer work. This item should generally explain the purposes for which AID funding is requested.

X. BUDGET:

List the funds required by source and purpose for the total project including those funds requested from A.I.D.

PSD 04/02/87

USAID/THAILAND
PROJECT SUPPORT DIVISION
GUIDELINES FOR PREPARATION OF PROJECT PROPOSALS
FOR PVO CO-FINANCING GRANTS

Project Title:

Total AID Request:

Total Value of Other Resources:

Project Location:

Project Duration:

PVO Name and Address:

Central Headquarters:

Contact Person:

Date of Submission to USAID:

I. SUMMARY PROJECT STATEMENT:

State briefly and concisely (one or two paragraphs) what you intend to do with the requested AID funding, how you will carry out the proposed activities, and the need for them.

II. PROBLEM:

1) Describe the problem or problems which you are attempting to address during the project's life.

2) Describe the geographical area involved in this proposal and why it was selected.

3) Tell how you became involved in the problem(s).

4) - Does this proposal address problems or improvements sought by some or all of the residents of the involved area?

- Does the project fall within the social and cultural context of the target group or is it an attempt to make desirable changes in attitude or behavior?

- Are there persons or groups who may be adversely affected or have opposition to the project?

III. WORK TO DATE:

1) State what has been done by your organization or others in solving this problem to date. If nothing has been done, simply state so. Comment on your relevant capacity to address the problem.

2) If you have implemented similar projects in Thailand or other countries (in the case of a U.S. PVO), please identify them briefly stating dates, sources of funding, magnitude of funding and location.

3) Is this project compatible with some part of Thailand's development priorities or goals? If so, please identify.

3) What will this project cost per direct beneficiary and how will they and others benefit?

IV. GOALS AND OBJECTIVES:

Goals: State clearly the goal of the project. Explain in a few sentences what the project is to achieve. Show what conditions are expected to exist at the end of the project. This item should reflect the changes you hope to achieve from the conditions now existing in item IV.

Objectives: State clearly the objectives of the project in measurable terms.

V. METHODOLOGY:

1) Describe what you plan to do under this project to achieve the goals and objectives in item IV. For each objective listed in item IV, explain how the objective is to be achieved; who will do what, how, and when.

2) Will your organization be working with other groups or organizations in conducting the project? If so, describe who they are, how many people will be involved full-time and part-time, and what their functions will be.

VI. TIME FRAMES AND WORK PLAN:

Which of the tasks outlined in item V will have been begun or finished at the end of each program year or period? (This information may be presented in chart form.)

VII. BENEFICIARIES:

1) If the specific direct and indirect beneficiaries have been identified, describe their numbers, gender, kinds, economic and/or other status.

2) If the exact intended direct and indirect beneficiaries will not be selected until after the project begins, describe the status of the target group, and state the criteria you will use in choosing beneficiaries.

VIII. EVALUATION AND BASELINE DATA:

Outline the conditions which now exist for the changes you hope to make. Indicate how you determined that baseline, and how you will measure change that results from the project.

Describe your evaluation plans:

1) How often will monitoring and evaluations take place? For example: quarterly reports, annual reports, a mid-project evaluation, an end-of-project evaluation.

2) What conditions or processes are to be evaluated?

3) How will these be evaluated - that is, how will you measure change compared to baseline figures?

4) Who will evaluate the project?

5) Identify funds to cover costs of evaluations.

IX. ASSUMPTIONS:

1) Causal: what processes (assumed to be initiated by project inputs) are necessary to achieving intended project impact? (For example, training is assumed to cause changes in knowledge, skills, and/or attitudes which result in increased earning power or changed behavior.)

2) Operational: Identify support or activities of others which are required for successful project completion. Describe what will take place or continue in order to accomplish project goals and purposes. This might include the participation and support of target groups; continued market demand for a product; or continuation of the policies or activities of a Thai government agency.

X. POST PROJECT EXPECTATIONS:

1) Describe the changes you expect to have taken place by the end of the project to improve the status of beneficiaries. For example, state what changes in income, employment, production, skills or health status will exist at the end of the project.

2) Explain what you expect to achieve in the projects' continuation and replication. Will the project cease at the end of PVO Co-Financing?

3) If you anticipate that any activities will continue, would these require additional outside funding or would the grant have generated a source of funds and a sense of commitment for continuation?

4) List the specific types of information you will gather at the outset of and during the project which will serve as indicators to measure progress, or lack thereof, during and at the end of the project. How will this information be gathered and by whom?

XI. FINANCIAL NARRATIVE:

1) Describe the resources required in order to carry out this project. This should include cash resources and their sources, commodity inputs, and volunteer work. This item should generally explain the purposes for which the budget will be required.

2) If you plan to make sub-grants or contracts with other organizations, identify them by organization and amount in this item. How will you fund the sub-grants/contracts?

3) If you plan to buy any goods or services it is suggested that you consult with the appropriate USAID officer for clarification of AID procurement regulations so that necessary procurement can be described in the proposal and approved when the proposal is approved.

4) How much of the USAID funds will be used to buy goods and services? How much will be spent in-country (local costs) and how much outside the country (foreign exchange costs)?

XIII. BUDGET

List in detail by year or other convenient time period the expenditures of AID and non-AID resources. The non-AID resources should be identified in separate columns both as to the source of the resources as well as whether or not these resources are in cash or in-kind.

An estimated dollar value should be shown for in-kind resources, such as donated materials and services from individuals, organizations and governments. The budget should identify unit costs where applicable, such as per diem rates, salary levels, cost per square foot for construction, and should have an accompanying list, where appropriate, detailing such items as equipment, supplies, materials and services to be acquired under the activity.

PSD 04/02/87

Guidelines for Progress and Monitoring ReportsSuggested Format
for
PVO Progress Reports

The following is a sample format which, with appropriate adaptations to the specific activity and situation, could be considered for use by AID and the PVO. It contains most of the major items of interest to AID. The length of the progress report should be no more than ten pages for project/activities that are complex and/or have a number of sub-activities and no more than five pages for those which are more simple in design and have only a few sub-activities.

ACTIVITY PROGRESS REPORT

Period: _____ to _____

I. General Reference Section:

- A. Name of PVO: _____
- B. Title of Project: _____
- C. Project Area: _____
- D. AID Grant Agreement No.: _____
- E. Amount of AID Grant: _____
- F. Total Value of Project: _____
- G. Date of Last Report: _____
- H. Date of This Report: _____

II. Expenditures/Financial Section:

- A. Amount of AID Grant: _____
1. Funds Received to Date: _____
2. Expenditures to Date: _____
3. Balance Due Under Grant: _____

B. Amount of Other Resources (non-AID) Programmed: _____

1. Total Cash Input to Date: _____

2. Total Value of Commodities/Services to Date: _____

3. Balance Remaining: _____

C. Annual progress reports only: provide information concerning current operational year budget, detailing sources of income, administrative expenses, and program costs.

III. Brief Summary Statement of Progress During Reporting Period:

IV. Brief Statement of Overall Status of Project from Beginning Date:

V. Accomplishment of Specific Purpose(s): Compare actual to plan, as contained in the Implementation Plan of the Proposal:

A. Activity No. 1 (State the activity and describe or list specific accomplishments during the reporting period which relate to it. Do the same for other activities.)

B. Activity No. 2

C. Activity No. 3

etc.

VI. Prospective activities for the next implementing/reporting period. Note any major anticipated changes from project implementation plan or work plan.

VII. Beneficiaries:

A. Direct Beneficiaries: (Indicate the number and type involved during the reporting period and the way in which they benefited.)

B. Indirect Beneficiaries: (Give the best estimate of the number and type during the reporting period and how they benefited.)

C. Cumulative Totals Since Start of Project:

1. Direct:

2 Indirect:

VIII. Problems Encountered:

IX. Required Actions: (List any lessons learned and any unexpected positive and negative results experienced during the reporting period.)

X. Attachment: (Attach any detailed financial reports, charts, graphs, maps, newspaper articles, photos or other documentation which support or expand upon items I-VII above.)

PSD: October, 1986

Project Officer
Monitoring Report Checklist

Grant No.: _____ Site: _____

Title: _____ Date: _____

Grantee: _____ Date of last visit: _____

Name of visiting USAID personnel: _____

Name(s) of PVO Personnel Contacted: _____

Objectives of visit: _____

Project Activities Observed and Relevant Project Objectives: _____

I. PROCEDURAL: (Indicate N/A if an item does not apply; if additional comments are desirable, use space at end of the form and indicate which item it refers to.)

1. Staff in place as per grant agreement Yes _____ No _____

2. Staff qualified for effective at tasks Yes _____ No _____

3. Space adequate to needs Yes _____ No _____

4. Other resources adequate to needs Yes _____ No _____

5. Accounting systems in place Yes _____ No _____

6. Equipment labelled with USAID marking Yes _____ No _____

7. Condition/utilization of equipment _____

8. Financial problems/questions _____

9. List current project personnel paid by USAID

Name	Position
_____	_____
_____	_____
_____	_____
_____	_____

II. SUBSTANTIVE:

1. Project goals and methodologies understood by field staff Yes _____ No _____
2. Field role clearly understood by field staffers Yes _____ No _____
3. a. Adequate monitoring system (MIS) developed in relation to project size/nature/goals Yes _____ No _____
b. Beneficiary baseline/periodic follow-up data collected and used Yes _____ No _____
4. Coordinating mechanisms with target population in place Yes _____ No _____
5. Coordinating mechanisms with local organizations in place Yes _____ No _____
6. Coordinating mechanisms with government agencies in place Yes _____ No _____
7. Implementation plan developed Yes _____ No _____
8. Implementation plan understood by field staff Yes _____ No _____
9. Project on schedule regarding targets in implementation plan
a) _____
b) _____
c) _____
10. Planned activities for next period as discussed with responsible PVO personnel:

11. If participatory implementation is an element of the project, what degree and quality of inputs have come from beneficiaries?

12. Beneficiary reactions awareness of USAID role: _____

13. PVO Staff comments; especially problems faced and proposed solutions, and awareness of USID funding:

14. Visitor observations

15. Unexpected benefits

16. Unexpected difficulties

17. Recommended AID follow-up action

PSD (# 1791R)

General

Project Visit Checklist

Project Title: _____ Date: _____

Grantee: _____ Site(s): _____

Name(s) of USAID visitor(s) _____

Name(s) of PVO staff contacted: _____

I. General impressions of project site

II. PVO Staff comments; especially problems faced and proposed solutions

III. Financial problems/questions

IV. Recommended AID follow-up action

MICRO-POLICY REFORM:
THE ROLE OF PRIVATE VOLUNTARY DEVELOPMENT AGENCIES

by

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National Association of Schools of Public Affairs and Administration
Washington, D. C.

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MICRO-POLICY REFORM:

THE ROLE OF PRIVATE VOLUNTARY DEVELOPMENT AGENCIES

by David C. Korten ¹

Current development thinking stresses the need for policy reforms supportive of more effective and sustainable outcomes from both central and local development initiative. To date donor agencies have looked to themselves as the primary actors in the promotion of such reforms--assuming that financial leverage is the key to the outcomes they seek. The idea that there might be a significant role for development oriented private voluntary organizations (PVOs) in advancing the policy reform agenda has hardly been considered. This paper argues that this is an important oversight and suggests how PVOs might substantially increase their development impact through positioning themselves as catalysts in support of those policy reforms which depend on development of new institutional capacities. Appendix A suggests guidelines for use by PVOs in carrying out strategic assessments of their existing programs.

Macro- versus Micro-Policy Reform

The argument for giving greater attention to PVO roles in policy reform is based on a seldom acknowledged distinction between what we might call macro-policy reform and micro-policy reform.

Macro-Policy Reform

A macro-policy reform is one which can be accomplished through pre-emptive central action--the stroke of an authoritative pen--with minimal requirement for the development of new institutional capacities as a condition for implementation. Usually it involves a fairly clearly defined and specific decision. Strong political interests which oppose the reform may make getting that decision extraordinarily difficult. But once the decision is formally made by the competent political authority, its implementation is a comparatively straightforward process. The decision to remove a subsidy from fertilizer imports tends to be of this nature, or a decision to move from subsidized to market level interest rates for agricultural credit. In the latter case the administrative mechanisms presumably are in place

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to administer agricultural loans. The primary change will be in the regulation which specifies the interest rate to be charged.

Many policies relating to pricing decisions, subsidies, and trade policies are of this nature. Two issues are normally prominent: What decision will obtain the desired outcome? And how can the necessary political support be mobilized to obtain that decision?

Micro-Policy Reform

In contrast, a **micro-policy reform** is one which depends for its implementation on the accomplishment of sometimes highly complex and difficult **institutional changes**--commonly involving the development of significant new capacities and norms, and a redefinition of institutional roles. Needed reorientation of existing professional and managerial practice may depend on achieving changes in deeply held personal and professional values.

The introduction of a credit program for small farmers where none has before existed may be of this nature. Though credit institutions may already be in place, making their services accessible to small and often remote client populations will require capacities quite different from those involved in reaching larger, often more urban, clients--and very different values and instincts on the part of the bank managers.² Most complex of all are likely to be those micro-policy reforms calling for a sharing of power between national and local levels, and the development of self-reliant beneficiary organizations.³ The micro-policy reform deciding on the **what** is often relatively simple compared to the job of creating the institutional conditions the **what** requires.

Implications

The differing nature of macro- and micro-policy reforms has important implications. For example, **macro-policy** is the natural and appropriate realm of formal **policy analysis**--which offers a means of projecting the consequences of alternative policy choices to determine which will produce the most favorable outcome.⁴ It is also a natural realm of large donors who can use their substantial financial resources to buy the necessary political support.

In dealing with macro-policy the presence of a strong authoritarian leader can offer significant advantage. Where such an individual has clear authority, the problem for the donor is to make it worth his or her while to accept the political costs of the decision. Here is where the substantial financial leverage of large donor organizations can be quite useful.

Micro-policy is quite a different matter. Here the policy analysts have relatively little to say. The day belongs instead to what John Friedmann calls the planners of the **social learning** school--who know something about facilitating the processes by which complex institutional changes occur.⁵

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Performance in the micro-policy arena depends on the exercise of creative initiative by many individuals. A dictatorial regime--or a control oriented bureaucracy--is likely to stifle such initiative. Consequently both political leaders and the larger donors commonly find their more obvious sources of leverage to be of relatively little consequence in achieving micro-policy objects. While they can demand formal compliance, pre-emptive action on their part carries little or no real force unless backed by persistent action to achieve what must be essentially bottom-up processes of rebuilding institutional structures and supporting norms.

The substantial financial resources of the large donors may actually place them at a disadvantage in dealing with such matters. Demands to keep the money moving divert their attention from the careful coalition building and learning processes through which micro-policy reforms are worked through and institutionalized. For example:

- * The conditions of a major irrigation loan can demand a role for water user associations, but unless the capacity to develop and support such associations already exists there is seldom any action. Faced with competing political interests within their own organizations, and having little time for the details of internal management, even the top administrators of the irrigation agency may face similar limitations in their ability to achieve desired changes--irrespective of the strength of their personal commitments.
- * Agricultural extension projects can demand that the research extension system be responsive to farmer realities and inputs. But if existing structures are geared to enforcing farmer compliance with centrally mandated recommendations and there is no tradition of researchers seeking feedback from extension agents, such response is unlikely.
- * Community health projects can call for the development of self-sustaining, self-financing village health committees to assume the leadership in local health matters. But if the health system is geared to centrally funded physician care, formally established local committees will be sustained only so long as central project funds are available.

The list could be extended to include most all people-oriented development activities.

Catalyst Organizations and Micro-Policy Reform

Though authoritative support may be crucial, micro-policy reforms are achieved through the facilitation of social process more than through legal proclamation. Organizations prepared to take the lead in facilitating the coalition building and institutional learning through which these social processes are given force and direction can exert an influence far out of proportion to their financial resources or political authority.

Micro-Policy ReformThe Role of PVOsThe Ford Foundation as Catalyst in Southeast Asia

An important demonstration has been provided by the Southeast Asia Office of the Ford Foundation in its support of community based management of irrigation and forestry resources⁶ in Indonesia, the Philippines, and Thailand. While each country and sector effort has its own distinctive features, they all use the same basic approach.⁷

Ford staff begin by identifying those agencies which dominate the policy and program environment with regard to the management of the resource of interest: irrigation water or forest lands. Then they identify key individuals within these agencies interested in community based approaches to resource management. Funds are provided to the focal agency through these concerned individuals to support studies, often carried out by local universities, which focus on the community's existing resource management practices and the impact of agency programs on those practices. As findings emerge, workshops are held at national and local levels at which researchers, agency officials, and representatives of interested private voluntary organizations (PVOs) examine the results and their implications.

Out of these events a number of individuals are identified who have demonstrated through their participation both a serious commitment to the problem and useful skills needed by the enterprise. These individuals are invited to form a working group--chaired by a senior official of the responsible agency--which assumes the leadership in analyzing the experience and planning appropriate actions.⁸ In addition to agency staff and the responsible Ford Foundation Program Officer, a mature working group may include participants from four or five research and training institutions, plus one or more PVOs.

As understanding of the resource management problem increases and possible ways of dealing with it using community management approaches are identified, one or more pilot projects are established under agency auspices to serve as learning laboratories in the development of new approaches. These pilot efforts may involve one or more private voluntary development agencies assisting in the training and supervision of agency field staff--plus social scientists from one or more in-country institutions who develop site assessment methods and document implementation processes. The experimental field activities are intensively monitored by the working group, so that approaches may be modified and implications for the larger organization assessed. Through workshops, conferences, and training programs, the experience base and the number of persons engaged in the review of these experiences is expanded. Gradually, additional learning laboratories are established which build from the experience of the earlier efforts.⁹

Ford staff, serving as facilitators of the process, identify prospective working group members, support their involvement in relevant activities, and help them establish distinctive roles within the working group. At the same time they play a key role in agenda setting, and in helping resolve conflicts among working group participants. Flexible funding is provided in the form of small grants to the sponsoring agency for related experimental and research activities. Small

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grants may also be made to other participating institutions which allow them to pursue related initiatives supportive of their own program interests. Occasionally Ford staff develop their own studies illuminating key program and policy issues as input to working group sponsored workshops.¹⁰

Necessary Capacities

Relative to the need, there are at present all too few organizations with the commitment and capacity to perform this type of catalyst role in support of much needed micro-policy reforms. It requires experienced professional staff who combine in-depth country knowledge, professional credibility, and facilitation skills. Development of these qualifications among expatriate staff depends on stable country assignments in professional roles which leave them relatively free of routine administrative duties to concentrate their energies on problem-centered collegial interactions with counterparts. The organization must have a capacity to quickly and flexibly fund a range of activities through small grants and contracts as needs and opportunities arise.

Donor Constraints. Given the comparative success of Ford Foundation efforts in Southeast Asia, it would seem reasonable to expect that numerous other donors would seek to emulate its approach. There have in fact been expressions of interest among some donors. The USAID Missions in the Philippines and Thailand have made selective attempts at emulation. But the results have not been encouraging--due largely to internal constraints on staffing and the application of funds.¹¹ AID staff are limited to four year assignments in a given country and continuing cuts in staff and O&E funding force those who remain to focus their attention on matters of AID's internal administration--their time largely consumed by logistical and procedural concerns. The bulk of AID funding goes into large projects funded through formal government to government mechanisms, seriously limiting flexibility and creative initiative.

In addition to many of these same problems, the large development banks have at best only a token staff presence in country, and face intensive pressures to keep the money flowing in large technically designed projects. Their staff have little time for the thoughtful reflection, intensive interaction with counterparts, and careful adjustment in response to error and opportunity which are the heart of effective social learning.

Finally there is a fundamental conceptual problem. The large donor organizations were founded on the premise that financial resource transfers are the key to stimulating development. This is the purpose to which they are dedicated and to which their structures and operating procedures are geared. Many micro-policy interventions are based on a wholly different premise, i.e., that substantial improvements in development performance can be achieved with the physical and financial resources already available by changing the ways in which they are controlled and managed. Organizations which premise their existence on financial transfers are willing to pay lip service to this concept, but have demonstrated little willingness--or ability--to act on it. More suitable are organizations with modest financial resources which see people as the critical development resource.

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PVO Potentials. If the need for institutional catalysts is to be met, it seems necessary to look beyond the traditional development donors. Organizations able to meet its requirements are more likely to be found among the thousands of development oriented private voluntary organizations (PVOs)--both international and domestic--working in Third World countries.¹² A number of these organizations have a natural interest in micro-policy reform, view development as primarily a people to people process, and lack the inherent structural constraints faced by the large donors. Yet, though the trends are promising, the full potentials of the private voluntary development community to be a major force for self-sustaining broadly based development remain only partially realized. Few have yet recognized their own potentials to become truly significant development actors and developed the range of new capacities required to be effective as catalyst organizations.¹³

Three Generations of Private Voluntary Development Action

Private voluntary and humanitarian development assistance efforts directed to the relief of Third World poverty have undergone important changes over the years. As the PVO community has grown in its sophistication regarding the nature of development and the potentials of its own role there has been a tendency to pursue increasingly sophisticated and--from a policy perspective more powerful strategies. In general this has involved a lengthening of time perspectives, a broadening of the definition of the development problem, and a shift from more operational to more catalytic roles.

Rich in their diversity of purposes and experiences, PVO's defy attempts at precise classification. Even so, among those PVOs which deal in development it is possible to identify three distinctive orientations in programming strategies: (a) a relief and welfare orientation; (b) a local self-reliance orientation; and (c) a sustainable systems development orientation. While all three strategic orientations appropriately co-exist within the larger PVO community--even within a single PVO--the underlying direction of movement makes it appropriate to label these first, second, and third generation strategic orientations. [See Figure 1 for a summary.]

Generation I: Relief and Welfare. Many of the larger international PVOs such as Catholic Relief Services, CARE, Save the Children, and World Vision began as charitable relief organizations, relying on private contributions to deliver welfare services to the poor and unfortunate throughout the world. Such efforts represented a **First Generation** of private voluntary development assistance. And, of course, relief efforts remain an essential and appropriate response to **emergency situations**--which demand immediate and effective humanitarian response. Such situations may forever be a part of the human experience. And there will always be individuals within any community whose circumstances are such that they necessarily depend on some form of welfare assistance. But as a development strategy, it is generally recognized that relief and welfare approaches offer little more than temporary alleviation of the symptoms of underdevelopment.¹⁴

Generation 2: Small Scale Self-Reliant Local Development. In the early and mid-70s, the PVOs came to recognize, as did other development organizations throughout the world, that the direct delivery of food, health care and shelter attacked only the symptoms of poverty, without addressing its causes. Sustainable improvements in the lives of the poor depend on increasing their capacity to meet their own needs with resources they control. In the late 1970s, many PVOs undertook development of program capabilities to promote and fund local development activities in areas such as preventive health, improved farming practices, local infrastructure, and other community development activities intended to promote local self-reliance. AID Development Program Grants--made available during the period of 1975-79--encouraged and assisted interested PVOs in developing the necessary capacity to launch a **Second Generation** of private development assistance.¹⁵

Some governments have attempted to discourage and/or control PVO efforts directed to the development of local self-reliance, seeing them as competitive with their own public development programs and fearing that independently created local organizations might represent competing political interests. Some PVOs, perceiving government as incompetent and hostile to their efforts, have sought to avoid or bypass it, even when claiming that their own activities are intended as models for emulation by public programs. Examples of effective cooperation between governments and PVOs which realize the comparative strengths of each do exist--but are all too rare.

Generation 3: Sustainable Systems Development. Currently, segments of the PVO community are again engaged in a re-examination of basic strategic issues relating to sustainability, breadth of impact, and recurrent cost recovery. At the heart of this re-examination is the realization that: 1) acting on their own they can never hope to benefit more than a few favored localities; and 2) self-reliant village development initiatives are likely to be sustained only to the extent that local public and private organizations are linked into a supportive national development system involving many different organizations--both public and private.¹⁶ Sometimes government programs already command the resources required for broader impact, but use them ineffectively. And the institutional and policy setting may actively discourage the self-reliant local initiative which might result in the effective mobilization of local resources. For example, there may be no provision for independent local groups to obtain legal recognition or enforceable rights over productive resources. Or local income generating activities may be undermined by publicly subsidized corporations which are competing for control over productive resources and markets. Local initiative may even be discouraged and/or overshadowed by bureaucratically sponsored and administered service delivery programs which create local dependence on central subsidies and extend bureaucratic control to the lowest societal levels.

Efforts by PVOs to confront these realities in collaboration with government, and a wide range of other local and national institutions--both public and private--toward development of more supportive policies, programs, and institutions--represent a **Third Generation** of PVO development strategy.

Figure 1THREE GENERATIONS OF PVO DEVELOPMENT PROGRAM STRATEGIES

	Generation		
	First	Second	Third
Defining Features	Relief & Welfare	Small-Scale Self-Reliant Local Development	Sustainable Systems Development
Problem Defined in Terms of Need For:	Goods and Services	+ Local Self-Reliance	+ Supportive Institutions and Policies
Time Frame	Immediate	Project Life	Indefinite Long-Term
Spatial Scope	Individual or Family	+ Neighborhood or Village	+ Region or Nation
Significant Actors	PVO	+ Beneficiary Organizations	+ Government + Private Enterprises + Universities + Other PVOs Etc.
Capacities Required of PVO	Logistics	+ Community Organizing + Project Management	+ Strategic Management backed by Social & Institutional Analysis + Facilitation + Coalition Building + Grant Making

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As these are seldom precisely defined categories and are more appropriately applied to individual programs than to whole organizations, a given PVO may find that one of its programs is characterized by a Third Generation orientation, whereas others may be dominantly First or Second Generation--each appropriate to its circumstances.

In emergency relief situations and in providing welfare services to those unable to care for themselves a predominantly First Generation program strategy may be necessary. And certainly there is need for programs which strengthen community capacities to make demands on the larger system, and to control and manage local resources.

Yet in many instances First and Second Generation program efforts will ultimately prove futile in the absence of a Third Generation effort to achieve a policy and institutional setting consistent with their purposes. All three types of program might in a given instance be undertaken by a single PVO. But in any given setting it is most likely that these different needs will be met by different PVOs representing different purposes, constituencies, and competencies. And PVOs pursuing Third Generation program strategies will often need to give explicit attention to the development of capacities of collaborating PVOs to meet essential First and Second Generation needs as a part of their larger system development strategy.

An expanding awareness of such issues tends to impel generational advances within a given PVO. And indeed some PVOs have evolved through all three generations of strategic orientation. The Development of People's Foundation is one of numerous examples.

The Development of People's Foundation, Inc. (DPF), is based on the island of Mindanao in the Philippines. DPF was originally established by a local medical school to give its students practical experience in providing health care to residents of nearby villages--a First Generation orientation. But eventually its leadership began to realize that to deal with the real health needs of the villagers, greater community involvement would be needed. Thus it began organizing communities to define their own health needs and assume the initiative in addressing them--a second generation orientation. This led to recognition of a need to prepare government health care providers to respond to the resulting community demands for new types of service. Consequently, DPF turned its attention to working with government agencies at municipal, provincial and regional levels to create an enabling setting for local self-help initiatives in dealing with health needs. Since the concerns of the community groups were not limited to health, eventually it became necessary for DPF to assume a similar role in relation to a variety of local development needs. Now, by special invitation, a member of the DPF senior staff serves as a member of the government's regional development council--normally comprised exclusively of government officials.

Micro-Policy ReformThe Role of PVOs

The fact that there may be a need to increase the number of PVOs with capacities to undertake Third Generation program strategies in no way reduces the need for other organizations which have capacities to respond to the welfare needs of the community, to field emergency relief efforts, or to engage in direct community mobilization. Quite the contrary. Further development of capacities in each of these areas is necessary. But the nature of these needs and of the capacities required to meet them are reasonably well understood relative to the need for and capacities to pursue Third Generation program strategies--which are thus the focus of this paper.

Historical Experience

Though not widely recognized by development donors--or even by many PVOs themselves--PVOs have a long history of taking the lead in supporting policy and institutional changes of considerable significance. For example, in the field of population private organizations such as Pathfinder Fund pioneered public education and service delivery programs several decades before governments began to take population growth seriously, preparing the way for a major shift in public attitudes and policies. In the late 1960s and early 70s, national affiliates of the International Planned Parenthood Federation throughout the world committed themselves to sophisticated strategies which in country after country resulted in important changes in public policy and achieved government commitment to the provision of family planning services. These efforts combined sponsorship of policy research, direct lobbying of policy makers by influential board members, public education campaigns, and service delivery programs which proved the extent of demand and served as models for government programs.¹⁷

Contemporary Experience

Now in the mid-1980s a growing variety and number of PVOs, both large and small, are becoming aware of their potential to have similar influence in areas such as local development, health, and small enterprise. Some focus on helping government achieve more effective results from its service delivery programs. Others focus on the creation of enabling settings for community management, as illustrated by the example of the Ford Foundation's Southeast Asia Office described earlier.

Helen Keller International (HKI), with the support of AID, collaborated with the Indonesian Ministry of Health from 1976 to 1979 in a national survey of xerophthalmia which established that 50,000 children were blinded each year due to preventable Vitamin A deficiency. Subsequent collaboration with government in developing effective approaches to targeting and delivering Vitamin A supplements led to the discovery that it may be possible to reduce infant mortality by as much as 20% to 30% through village level distribution of Vitamin A capsules backed by nutrition education. Now HKI is working with the Indonesian government on development of a national program intended to virtually eliminate Vitamin A deficiency.

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- In Thailand, Meals for Millions staff coordinate the applied nutrition program activities of provincial departments of health, education, agriculture and community development, as well as several private agencies to encourage collaboration in achieving comprehensive and efficient coverage of the target population. A similar approach has been taken by Meals for Millions in Honduras.¹⁸
- In Bolivia, staff of Project Concern are housed in a regional Ministry of Health Office of Planning and Supervision from which they are helping to set up a coordinated health and nutrition planning system involving a dozen government agencies, private groups, and indigenous healers.¹⁹
- The Institute for Social and Economic Research, Education & Information (LP3ES), an indigenous Indonesian PVO, is collaborating with the Indonesian Ministry of Public Works, the Ford Foundation, and USAID to strengthen water user associations and their role in irrigation system construction and rehabilitation. In addition to an operational role in the training and supervision of community organizers, LP3ES assists the Ministry in assessing and revising its own operating procedures in ways supportive of a stronger community role. It is also undertaking studies on a number of related policy issues in collaboration with the Ministry.
- Philippine Business for Social Progress (PBSP), the ILAW Foundation, and the International Institute for Rural Reconstruction (IIRR) are collaborating with the Philippine National Economic Development Authority and AID in the Local Resource Management Project.²⁰ These PVOs organize community resource management groups, while simultaneously helping to strengthen local government capacities to support self-help local development efforts. They also participate in periodic review workshops with public officials at provincial, regional, and national levels to assess implications of the community level experience for actions needed at each of their respective levels to strengthen local development action.
- In late 1985, Philippine Business for Social Progress initiated a program funded by the Ford Foundation intended to develop independent Provincial Development Foundations in selected provinces of the Philippines. These foundations will be encouraged to assume catalytic roles in mobilizing a wide range of public and private resources in support of poverty oriented provincial development strategies.
- The Bangladesh Rural Advancement Committee (BRAC) will establish a Bangladesh Center for Rural Management to help strengthen the capacity of local government officials to work in an effective and responsive manner with local beneficiary organizations representing landless and other deprived segments. The Center will work simultaneously with managers from local government, PVOs, and rural banks in

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a mode intended to encourage effective teamwork in local problem solving. Initially the new Institute will concentrate on the health sector, working closely with the Ministry of Health on the development of more effective community based approaches to primary health care.

- Partnership for Productivity and Technoserve, two U.S. PVOs specializing in the development of small and medium enterprise, are giving increasing attention to working in collaboration with government, as well as the corporate enterprise sector, to improve the climate for small and medium enterprise in the Third World countries where they work.
- CARE/Indonesia is carrying out a thorough review of its program portfolio with the intent to move beyond the current emphasis on individual water, dry land agriculture, and primary health care projects in selected villages to an emphasis on developing strengthening systems of both public and private institutions able to sustain improved performance in each of these sectors over significant areas of Indonesia.

Most of the initiatives identified above are still in their infancy, presenting demands on the PVOs involved to achieve a clearer definition of their own purposes and distinctive competence, while simultaneously developing the range of new capacities required.

New Types and Levels of Competence

During the late 1970's many PVOs with predominantly First Generation orientations and experience, sought to realign their organizations and staffing to meet the requirements of new program strategies. It was often a difficult --even traumatic--experience. Development of the capacities required by Third Generation strategies is likely to prove even more challenging.

Moving from an exclusively operational to more of a catalyst role involves basic changes in operating style. The PVO will find itself working less as a service delivery agency and more in the manner of a foundation, directing its attention to facilitating development by other organizations, both public and private, of the capacities, linkages, and commitments required to address designated needs on a sustained basis. It will be able only to influence--not control--the systems with which it works, and it will be doing this with resources that may seem inconsequential relative to those of the systems being influenced.

Success will depend on skillfully positioning itself in relation to the target system--a health system, a particular agricultural production and marketing system, a small enterprise credit system, etc--in such a way as to facilitate accelerated learning by the institutions which comprise that system. To do so it will need to act on in-depth knowledge of the actors and organizations which define and regulate the systems being addressed.

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Both technical and strategic competence are required.

Technical Competence

Commitment is essential to effective performance in a catalyst role, but it is no substitute for technical competence. Only when the two are combined are results likely to match intentions. PVOs working on a small scale in a few villages with people who have few options may not be questioned regarding their technical competence, and their technical failures will attract little publicity beyond the village that suffers the consequences. But when PVOs position themselves to be systems catalysts, their technical weaknesses are more difficult to hide. Some of the most important of the organizations with which they work will be large, influential, and staffed by highly credentialed professionals. Needless to say, the PVO which presumes to help such organizations become more effective must be guided by more than good intentions. Having the technical capacity to obtain the respect of those who control the relevant technologies --whether they be doctors, engineers, lawyers, politicians, administrators, or village leaders is basic. And not being able to buy access to key officials purely on the basis of the financial resources they can offer, they must win access through the perception that they offer a useful technical and political resource.

This is not to argue for the staffing of PVOs with narrow disciplinary specialists, as might be appropriate if they were assuming conventional technical assistance functions. Their technical competence must be balanced with social, political, and managerial skills. The means of developing this competence include: 1) recruitment; 2) training of existing staff, and 3) the development of relationships with respected centers of technical excellence.

Strategic Competence

Strategic competence is a measure of the organization's ability to position its resources to achieve its objectives.

First and Second Generation strategies have demanded little in the way of strategic competence. Positioning the organization's resources for a First Generation intervention requires mainly the ability to identify a population of people who lack the goods or services the PVO is prepared to offer--not a particularly difficult or sophisticated task in many countries. Similarly, positioning a PVO for a Second Generation intervention requires mainly the identification of a number of villages which are willing to extend their active cooperation in return for the assistance received.²¹ Third Generation strategies are quite another matter.

The ability to position its resources to achieve leverage on larger systems becomes one of the central concerns of the organization--at all levels.

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Bureaucratic versus Strategic Organizations. PVOs have seldom been noted for their attention to development of management systems and capacities.²² Indeed some PVOs have acquired an ideological disdain for management, placing it in a class with exploitation, oppression, and racism. In part this results from a limited awareness of alternative management approaches and their contributions to releasing creative human potentials. Often the distrust of management comes from associating it with centralized control-oriented bureaucratic forms of organization which many PVO staffers have chosen careers in the private voluntary sector specifically to avoid. What is being advocated here is a much different kind of management consistent with the requirements of the strategic organization--which represents highly advanced management concepts and possesses a well developed strategic competence.

Centralized organizations which depend on bureaucratic controls to channel the behavior of their members into well defined routines generally have a low level of strategic competence. Such organizations seldom respond to needs and opportunities in terms of inherent requirements, preferring the ways which fit their own convenience. Rather than making appropriate adjustments in their approach to use of existing resources, new needs and opportunities are taken as a rationale for adding staff and increasing budgets--usually leading to costly and partial responses.

Unlike the conventional bureaucratic organization, the strategic organization maintains its direction not through the tight control of operations, but through an organizational culture which supports high levels of commitment and disciplined self-assessment among its members in support of agreed upon organizational goals.²³ This allows it to make strategic adjustments at all levels and across all functions--continuously deepening its definition of the problem and adjusting its response. Well developed information systems provide intensive and continuous feedback to support self-assessment and rapid self-correction of errors.

The PVO as a Strategic Organization. The institutional systems to which Third Generation strategies are directed are commonly complex in their structure and dynamic in their functioning. Their complexity means that a reasonably complete understanding of their nature can be developed only over time as experience is gained in working with them. Their dynamic nature means that the original problem definition must be continually tested and refined in light of new developments, resulting in corresponding adjustments in the positioning of the PVO's resources consistent with the complex, illusive, and changing relationships of the social, economic and political terrain in which it has chosen to work.

Such adjustments may be required at many levels--from the central to the local. At the central level it may involve significant adjustments in the definition of the organization's program and area commitments. [See the Appendix for further discussion.] At the same time, on going adjustments will be required in individual program strategies on a country, province, district, or even village basis. This calls for capacities in social, institutional, and economic analysis uncommon among PVOs. While it cannot be expected that every staff member

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will be a professionally qualified social analyst, basic skills in social analysis will need to be widely distributed throughout the organization. This analytical capacity must in turn be backed with skills in process facilitation and coalition building at all levels.

Since quick results cannot be anticipated, the PVO undertaking a Third Generation strategy must have the staying power to remain at the task for ten or even twenty years if necessary. And it must be able to withstand the challenges of critics who believe that contributions to development progress are measured only in buildings constructed, immunizations given, and food packages delivered. Capable leaders who combine a long term vision with highly developed professional management skills are essential.

For more than a decade the training of development managers has emphasized the concepts and methods of project management which encourage a myopic perspective on the nature of development and an unimaginative control oriented approach to its management. Partly in response to pressures from donors, who find projects convenient instruments for packaging their funding, some PVOs have become highly project oriented and have slipped into the pattern of assuming that they manage development by managing projects. Where this has occurred, their managers will need to take appropriate steps to achieve an expanded vision of the nature of development management and develop skills in a more strategic approach to managing their organizations.

There are many steps which can be taken toward development of the strategic capacity required by PVOs that aspire to Third Generation roles. These include: 1) sending key senior staff for advanced management training at top ranked management schools; 2) developing collaborative relationships with groups which have advanced capabilities in relevant social and policy analysis and its application; 3) recruiting staff with advanced qualifications in social analysis, management, and process facilitation; 4) documenting and critically assessing early Third Generation experiences as a means of strengthening internal learning; 5) conducting strategic assessment workshops for senior staff; and 6) participating in experience exchange with other PVOs which have similar commitments.

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The need for innovative thinking leading to expanded roles for private development agencies is becoming particularly evident in those Asian countries which are finding that financial realities preclude continued reliance on expensive and wasteful centrally funded and directed public development projects and programs as the key to development. For many of these countries, a greater reliance on broadly based local private initiative may be essential. And while it is important that governments recognize and give effective support to such initiatives, much of the leadership will need to come from the private sector itself.

NOTES

1. Many individuals have contributed to development of the ideas presented in this paper. Tom Franklin and Carolyn Stremlau were instrumental in directing my attention to the need to strengthen the development roles and performance of PVOs. Jerry Silverman posed questions which led to an explicit articulation of the distinction between macro- and micro-policy reform. Frances Korten helped me push this distinction to greater levels of refinement which further highlighted the implications. Tom Drahman provided reassurance that the concepts had a practical validity and utility. James J. O'Connor contributed to my thinking about the nature of the capacity building task, and in particular the need for strengthening technical competence. Jay Jackson and the staff of CARE/Indonesia helped me think through the frameworks for strategy definition. Beryl Levinger made key inputs to refining the summary table, and suggested that defining the strategic position in terms of continua might be more useful in PVO strategic self-assessments than constraining the assessment to only three discrete categories. Bob Pooley, Richard Ryan and Ross Coggins stressed the importance of recognizing the legitimacy of all three generations of strategic orientation. Ross Bigalow helped provide historical perspective.
2. John C. Ickis, "Structural Responses to New Rural Development Strategies," in David C. Korten and Felipe B. Alfonso, Bureaucracy and the Poor: Closing the Gap (West Hartford, Conn.: Kumarian Press, 1983), pp. 4-32.
3. David C. Korten and Norman Uphoff, "Bureaucratic Reorientation for Participatory Rural Development," NASPAA Working Paper No. 1 (Washington, D. C.: NASPAA, November 1981).
4. This fit between macro-policy and the concerns and methods of policy analysis, and the corresponding fit (as noted below) between micro-policy and the concerns and methods of social learning have been identified and elaborated by Frances F. Korten, "Making Research Relevant to Action: A Social Learning Perspective," Paper presented at the Workshop on Public Intervention in Farmer Managed Irrigation, International Institute for Irrigation Management (Sri Lanka), held in Kathmandu, Nepal, August 4-6, 1986. This analysis builds in part on the distinctions made by John Friedmann, From Knowledge to Action: the Dialectics of Planning (Princeton: Princeton University Press, forthcoming) between four historical schools of planning—each of which builds from quite different assumptions. Our concern here is only with two of his four schools: policy analysis and social learning. While often viewed as competing, each may also be viewed as being relevant to its own specific circumstances. The trick is in being able to achieve a match between method and circumstances as demonstrated in the present analysis.
5. See Friedmann, ibid.
6. Known more briefly as "community management," the emphasis is on the development of resource management systems which feature community level control over basic land and water resources and their use. See David C. Korten (ed.), Community Management: Asian Experience and Perspectives (West Hartford, Conn.: Kumarian

Press, forthcoming in 1987).

7. Explicit use is made of a learning process approach. See David C. Korten, "Community Organization and Rural Development: A Learning Process Approach," Public Administration Review, Vol. 40, No. 5, Sept-October 1980, 480-511. At the present time this approach is distinctive and exclusive to the Southeast Asia Office of the Ford Foundation. While other Ford Offices have expressed interest, none has yet undertaken to replicate it.
8. For an examination of the working group concept and its application in the Ford Foundation's work with the Philippine National Irrigation Administration see David C. Korten and George Carner, "Reorienting Bureaucracies to Serve People: Two Experiences from the Philippines," Canadian Journal of Development Studies, Vol. V, No. 1, 1984, pp. 7-24.
9. For a case study detailing this process and its supporting methods in relation to communal irrigation in the Philippines see Benjamin U. Bagadion and Frances F. Korten, "Developing Irrigators' Organizations: A Learning Process Approach" in Michael Cernea (ed.), Putting People First: Sociological Variables in Rural Development (London: Oxford University Press for the World Bank, 1985).
10. Frances F. Korten, "The Policy Framework for Community Management," in Korten, Community Management, op. cit., is an example of one such contribution. The original analysis was presented at a seminar in which the issues were jointly examined by a number of Indonesian government officials, as well as representatives of private voluntary organizations. This led to a more intensive study of the issues in specific relation to Indonesia by LP3ES, a major Indonesian PVO with extensive experience in irrigation development.
11. See David C. Korten, "Learning from USAID Field Experience: Institutional Development and the Dynamics of the Project Process," NASPAA Working Paper No. 7 (Washington, D. C.: National Association of Schools of Public Affairs and Administration (NASPAA)), June 1983.
12. The present paper is a direct result of more than six years of effort to achieve expanded application of learning process approaches to bureaucratic reorientation with large donor agencies serving in the catalyst role. The limited success of these efforts combined with the increasing strategic sophistication of selected PVOs has resulted in the present focus on the development of PVO capacities to perform in the catalyst role as learning process facilitators. An early error was made in placing the Ford Foundation Southeast Asia Office in the category of donor agency and looking to other donors as the instruments of replication. In fact the Ford Foundation may also be classified as a PVO, putting it in a class with other organizations with considerably greater prospect of replicating its methods.
13. According to Judith Tendler's study of seventy-five PVO project evaluations in 1981, the claims of PVOs to be more effective than government agencies in reaching the poor with innovative development assistance could not be substantiated with the evidence at hand. Often their programs and services were not qualitatively different from those offered by government. Judith Tendler, Turning Private Voluntary

Organizations into Development Agencies: Questions for Evaluation, Program Evaluation Discussion Paper No. 12, (Washington, D. C.: AID, 1982). Brian Smith sums up the data with the conclusion that PVO are clearly more efficient than government in their use of resources, but their claim to being more innovative and to be setting the program agenda is not substantiated. Brian H. Smith, "U.S. and Canadian PVOs as Transnational Development Institutions, in Robert F. Gorman (ed.) Private Voluntary Organizations as Agents of Development (Boulder: Westview Press, 1984), pp. 115-164. See also Ralph Kramer, Voluntary Agencies in the Welfare State (Berkeley: University of California Press, 1981). A study prepared by AID for the House Appropriations Committee concludes that "PVO projects often are implemented individually, not as part of a broader programming strategy." Development Effectiveness of Private Voluntary Organizations (PVOs), Submitted by the Agency for International Development, February 1986. These studies confirm that the failure of PVOs to realize their potentials is all too common. And some critics question whether this potential exists at all. Elliott Morss and Victoria Morss, U.S. Foreign Aid (Boulder, Colorado: Westview Press, 1982).

14. This realization notwithstanding, Brian Smith observes that the bulk of the resources of U.S. PVOs is still devoted to delivery of food, clothing, and medicine to alleviate immediate suffering. Op. cit., pp. 118-122.
15. The issues and their implications are developed in John G. Sommer, Beyond Charity: U.S. Voluntary Aid for a Changing World (Washington, D. C.: Overseas Development Council, 1977).
16. Milton J. Esman and Norman Uphoff, Local Organizations: Intermediaries in Rural Development, (Ithaca: Cornell University Press, 1984). See also Norman Uphoff, "Analyzing Options for Local Institutional Development," Special Series on Local Institutional Development No. 1, Rural Development Committee, Cornell University, Ithaca, 1984).
17. A doctoral dissertation on this experience titled "Private Voluntary Organizations as Catalysts of Policy Reform: A Case Study of IPPF" is being written by Dolores Foley at the University of Southern California.
18. Reported in Development Effectiveness of Private Voluntary Organizations (PVOs), Washington, D. C.: Agency for International Development, February 1986.
19. Ibid., pp. 21 & 23.
20. The University of the Philippines at Los Banos is also participating in a similar role. It is, however, a public university, rather than a PVO.
21. Wortman observes that not only have few PVOs reached the strategic management stage of development, many have not even reached the strategic planning stages in vogue twenty years ago. Max Wortman, "A Radical Shift from Bureaucracy to Strategic Management in Voluntary Organizations," Journal of Voluntary Action Research, 10 (1), January/March, 1981, 62-81. David Brown and Jane Covey, two leading advocates of strengthening the strategic processes in PVO management, identify four distinctive attributes of development oriented PVOs (DOPVOs) which make it particularly difficult

for them to engage in strategic planning: a) missions that require bridging diverse constituencies; b) strong commitments to democratic values, equity, and social change; c) conflict at interfaces between DOPVO departments and between DOPVOs and external agencies; and d) self-inflicted increases in external turbulence and conflict as a consequence of empowering previously quiescent groups. L. David Brown and Jane G. Covey, "Strategic Planning in Development-Oriented Private Voluntary Organizations," Institute for Development Research, 710 Commonwealth Ave., Boston, Massachusetts 02215 (undated and unpublished). For case studies of aspects of the internal organizational culture of PVOs which inhibit the development of strategic competence see L. David Brown and Jane Covey Brown, "Organizational Microcosms and Ideological Negotiation," in M. H. Bazerman and R. J. Lewicki, Negotiating in Organizations (Beverly Hills, CA: Sage, 1983). Even so, Leslie E. Grayson and Curtis J. Tompkins, Management of Public Sector and Nonprofit Organizations (Reston, Virginia: Reston Publishing Company, 1984) observe a current movement in some voluntary agencies away from a reactive tactical and toward a more proactive strategic approach.

22. C. Stark Biddle, "The Management Needs of Private Voluntary Organizations." A report prepared for the Office of Private Voluntary Cooperation, Agency for International Development, Washington D. C., May 2, 1984; and Richard W. Ryan, "An Examination of Administrative Issues Affecting US Private Voluntary Organizations in International Development," San Diego State University, July 1986. (unpublished manuscript).
23. The concept of strategic competence, and the distinction between bureaucratic and strategic organizational forms is developed further in David C. Korten, "Strategic Organization for People-Centered Development," Public Administration Review, Vol. 44, No. 4, July/August 1984, pp. 341-352.

CONCEPT PAPER
PVO INSTITUTIONAL DEVELOPMENT SERIES

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January 4, 1986

I. Background and Purpose

There is a growing interest in the role that private voluntary organizations (PVOs) can play in providing development assistance. Initially, studies of such aid looked at the impact of that assistance, especially at who benefitted from it as in the model below.

PVO ASSISTANCE -----	RESULTS OF ASSISTANCE
	Who Benefits
	Impact on Community

Recently, this model has been expanded to include an intervening factor, namely the ways in which the assistance is managed and organized. The assumption is that these factors have a significant influence on the effectiveness of the assistance.

PVO ASSISTANCE ----	MANAGEMENT AND ORGANIZATION OF ASSISTANCE	--- RESULTS OF ASSISTANCE
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One reason for this increased interest in management and organizational issues is that many of the advantages attributed to PVOs refer to their organizational characteristics. For example, studies suggest that PVOs are more effective than public sector organizations because of the linkages they have with indigenous organizations, or the fact that their relatively small size enables them to be flexible in working with beneficiaries. Presumably these organizational characteristics are a major factor in explaining their ability to provide benefits to the poor. A second reason for looking at organizational and management issues is the development community's increased concern with the long term effects of development assistance. It is proposed that the ways in which assistance activities are organized and managed will influence whether or not they are sustained over time.

In the context of these concerns US/AID is proposing a series of evaluations of PVO assistance which will focus on organizational and management issues. The evaluations will be structured to examine specific PVO activities, and also to compare them with each other. The purpose is to allow US/AID and PVOs to build some cumulative knowledge about the organization and management of effective assistance.

This Scope of Work presents a conceptual framework for assessing the effectiveness of funded project activities and of PVO assistance. It provides a structure within which the evaluations will be carried out inductively, and is designed to provide two kinds of information. First it will deal with some generic concerns so that US/AID and the US/PVOsa can draw

comparisons and build some cumulative knowledge about effective assistance. Second, it will provide information to those managing the grants who need information specific to each project.

The framework includes relevant variables based on current theory and research about development management and the role of PVOs. By relying on the same framework the evaluations can be used to suggest which factors are associated with effective projects and to make recommendations about future assistance. In order to generate comparisons, the framework uses generic concepts with the result that its categories will not apply in some cases. Those who conduct the evaluations will therefore have to select among and adapt the indicators. Some PVOs and field organizations will probably not have focused on management issues. While assessments of their effectiveness can still be made, the evaluations can serve to "raise their consciousness" and thus will be a form of technical assistance in themselves.

II. Evaluation Framework

The evaluations will deal with three broad issues: First, what are the long run impacts of the PVO funded activities? Do they accomplish what is intended, and do they reach the groups they were designed to reach? Second, how are the projects managed and organized? Are certain management approaches and kinds of organizations associated with more effective projects? Third, what kinds of assistance are provided by the PVOs and is there any relationship between the type of assistance and the effectiveness of the funded activities?

For example, consider a project to increase the number of dug wells in a community. The evaluation would ask first, how effective is the project in increasing the number of wells, what is their impact on the community, and how likely are these results to be sustained over time? Secondly, how was the project managed and what kind of organization was assigned responsibility for implementing it? Third, what kind of assistance did the PVOs offer to those involved with the project? The evaluations may demonstrate that certain organizational forms and management approaches are associated with effective projects. They may find that specific kinds of assistance are associated with effective projects. On the other hand, they may provide evidence that these variables have little or no effect, and that variables such as amount of assistance offered, and characteristics of the environment have more influence on project effectiveness.

Before examining each of the three questions in more detail, we need to clarify the terms used in the framework. In order to create a general model, one that applies to different cases, we will differentiate among three parties: US based PVOs, affiliate organizations in LDCs, and specific project units. This gives us

the following general model:

<u>US/PVO</u>	<u>LDC AFFILIATE(S)</u>	<u>LOCAL PROJECT UNIT(S)</u>
National or regional levels	National, regional, district or local levels; single or multiple	Affiliate or independent organization

As used here the term PVO refers to organizations based outside of the developing country and providing development assistance. Cooperating organizations within the LDCs will in all likelihood also be private voluntary organizations, but for clarity they are called either affiliates or project units. Affiliates are organizations established at the national or regional level, and are essentially counterparts to the PVOs. Project units are immediately responsible for carrying out a funded activity; they may be local units of the PVOs, they may be organizations which the PVO sets up to run a project, or they may be existing organizations which the PVO relies on to provide a service. The affiliates may be separate as in the model or they can serve as the local project unit. Similarly, PVOs can work through affiliates as in the model, or they can work directly with local project units. In spite of these variations, the model is useful in emphasizing that US/PVO assistance logically has two components -- developing affiliate organizations and implementing specific projects.

With this schema in mind, we can return to the three questions identified above. The rest of Section II defines the terms more precisely and proposes research hypotheses associated with each of the questions. Section III contains specific questions for evaluators to address, and Section IV discusses the final evaluation products.

1. Impact of Project Assistance on Beneficiaries and the Community.

A project is defined as effective to the extent that it does the following:

- 1.1. it meets a perceived need in the community;
- 1.2. it is cost-effective;
- 1.3. it has made a difference in the community;
- 1.4. beneficiaries include the poor;
- 1.5. it has influenced others to alter their activities;
- 1.6. there are plans and resources for maintaining benefits.

One of the evaluation tasks is to determine the effectiveness of projects based on these factors. The first three factors speak for themselves. The fourth is included because in practice most PVO assistance is directed to the poor, and PVOs

are often cited as particularly well suited for reaching the poor. The fifth item recognizes that often PVO assistance is thought of as "seed money" to stimulate either the government, other private sector groups, or the community itself to take on an activity. The final item is a recognition of the importance of maintenance and sustainability issues, that unless there are plans for maintaining the benefits, the project has not necessarily accomplished its purposes. The rest of the evaluation determines to what extent these characteristics of effectiveness are related to the way in which the project is organized and managed and to the kind of assistance which is offered.

2. Project Management and Organization.

This variable refers to characteristics of the project units. While other studies have paid considerable attention to project effectiveness, they have paid much less to how projects are managed and organized. It is proposed that management leads to effective projects when the following are present: (1) creative leadership; (2) internal management procedures encourage applied learning; (3) linkages are being developed with groups in the community and with government units; and (4) the unit is pursuing ways to continue the activities on its own. Note that these characteristics are stated in developmental terms, recognizing that they are capacities to be developed and not necessarily characteristics which have been attained or not. What is important is whether the units are building these capacities and whether they are related to project effectiveness.

2.1 Creative Leadership.

Leadership is frequently identified as a major (if not the major) influence on project success. The term is difficult to define precisely but it usually refers to a person's ability to inspire trust and confidence, to motivate others to be involved, to practice good interpersonal relations, to listen, to be in touch with what is going on in an organization and in the community. The evaluations will need to derive a profile of the kind of leadership which is in evidence, come to some judgement as to its effectiveness, and finally estimate whether certain kinds of assistance or training would encourage it.

2.2 Internal Management of Project Units.

Observers have noted that non-governmental organizations (here called project units) are well suited to carry out development activities because their personnel are usually motivated to work with the poor and they are in a position to be flexible and adapt to problems and opportunities. Others question whether these descriptions are always accurate, and note that many such organizations end up working with community elites, are not as flexible as assumed, and may get caught up in maintaining

themselves just as larger public sector organizations do. One of the tasks of the evaluations will be to describe the nature of these organizations, their internal management practices and relate these to the effectiveness of their development activities.

Relevant questions concern the nature of decision making -- is information used to learn from experiences, and who has a say in design and implementation decisions? More specifically: How is information organized and collected? Do field personnel have a chance to influence decisions or do they usually carry out orders decided elsewhere? The literature suggests that private sector organizations often follow a collegial and collaborative approach and that this style is correlated with their ability to be effective. Other studies suggest that private voluntary organizations do not necessarily use a collaborative style, nor are they always open to new information or to altering their activities in the light of experience. The evaluations need to be able to characterize the way they handle information, carry out project design and evaluation, and how these are related to project effectiveness.

2.3 Linkages between the project unit and the community.

2.3.1 Linkages with community organizations. One of the presumed advantages that project units in the private voluntary sector have are close connections to community groups. Most of the literature on development supports the proposition that when organizations place a high priority on institutional linkages with groups in the community, they will produce more lasting benefits. One of the goals of the evaluations will be to determine to what extent this is true, whether the units do have close working relations with community groups, what facilitates and what inhibits these, and whether they are associated with successful project activities. Conversely, it is possible that such linkages will enable local elites to highjack benefits and divert them from the poor.

2.3.2 Linkages with the Government. The literature on voluntary organizations has stressed that one of their advantages is that they are not part of the government, a factor which allows them to be more flexible and responsive. More recently studies have suggested that private groups are not as distinct from the government as is often thought and that project units often have strong linkages with the government. The argument is that these can provide support and resources and increase the likelihood that benefits will be sustained. A related hypothesis is that they enable PVO activities to influence government policies and regulatory activities. Thus the evaluations need to examine the extent and nature of the relationship between project units and governing bodies, their influences on each other, and whether they are related to project effectiveness.

2.3.3 Relationship to the Environment in General. What are the critical factors in a project unit's environment which have enabled the project to succeed, or which have placed obstacles in its path? It is important for the evaluations to describe which factors have affected the outcomes either positively or negatively, since they will influence replications. While many of these are beyond the influence of project units, it can make a difference how project managers respond. Therefore, the evaluations should look for evidence that project managers are sensitive to their environments and are open to adaptation.

2.4 Management and Development of Self Sufficiency.

Project sustainability implies that projects are able to become more autonomous over time, in the sense of developing alternative resources or stimulating replications rather than assuming that PVO funding will continue indefinitely. It is important therefore to find out whether the project units have explored alternative sources of funding, whether beneficiaries or community groups contribute to them, and in what other ways project units are moving towards self sufficiency. One hypothesis is that units will be able to develop alternative resources to the extent that they work with and through community organizations. Another is that mobilizing additional resources is easier when beneficiaries are involved in planning and implementing the activity.

3. Effectiveness of Assistance From PVOs.

The third issue for the evaluations is to examine the assistance offered by PVOs. Effectiveness of PVO assistance is defined as enhancing the ability of affiliate organizations and project units to carry on project activities and to become more autonomous by helping them develop their capacity to manage projects on their own, and to garner additional resources. Depending on how a particular activity is organized there are two kinds of assistance: one is the assistance provided by the PVOs to affiliate organizations at the national or regional level, and the other is the assistance provided directly to project units. The latter may be offered either by the affiliates or by the PVOs.

3.1. Project Responsibility.

The first issue concerns the locus of responsibility for project assistance? How much guidance is provided by the PVO? Is there an affiliate with autonomous authority, and what is its relationship with the project unit, or are they one and the same? This is essentially a mapping question. One hypothesis is that in order to bring about long term development it is necessary to have a strong affiliate organization within the country which can

provide resources and can insure that host country organizations have a stake in and ownership of the projects. The alternative hypothesis is that PVOs are in a better position than affiliates to assist local project units and that affiliates are not in a position to enhance effective projects.

3.2. Assistance Strategy.

The major forms of assistance which PVOs provide are resources, technical assistance and training. The emphasis in this study on management and organization make the last two particularly important. The purpose of this aspect of the evaluation is first to determine what kinds of assistance are offered, whether the PVOs provide assistance in managing projects, whether they work through affiliates, and whether they assist the affiliates in working with project units. A second purpose is to examine the style and format of the assistance, whether it is facilitative or directive, and whether it is tailored to specific situations or is more generic and formal.

The major propositions in the literature are that assistance which emphasizes staff development in addition to providing tangible resources is more apt to produce successful projects. A second proposition is that formal courses and generic assistance are less useful to organizations and managers than assistance and training tailored to their particular needs. A third proposition is that assistance which is facilitative is more apt to be associated with successful projects, than assistance which is offered in a more directive manner.

Section II has presented a conceptual framework built around three broad questions and has suggested some of the issues associated with each. The following section covers some of the specific questions which may be used to gather information about these variables and hypothesized relationships. While all of the evaluations should deal with the three broad issues discussed in this section -- project effectiveness, project management, and PVO assistance -- it is assumed that they will select among the following questions according to the circumstances surrounding each evaluation.

APPENDIX 16

LDAP Back-Up System

- Accounting System
- Subcontract to Thai Volunteer Service to organize training on accounting.
 - Hire part-time accountant to help PVO develop appropriate accounting system.
- Monitoring and Evaluation
- Monitoring and evaluation teams are organized for each subproject; each team includes an external evaluator, a member of PVO and an academician. They provide technical assistance. Each year the teams organize a forum to share observations with beneficiaries, PVO staff and LDAP program staff. Beneficiaries are included in the evaluation.
- Information System
- In the process of planning sub-projects, LDAP frequently subcontracts with Rural Development Documentation Center (RUDOC) to assist in planning and in developing an information system.
- Create Learning/Exchange of Experience Forum
- Organize conferences/seminars/workshops, etc. regularly throughout the year. Issues vary according to interests of PVOs and are recommended by Board. Some recommended by PVO which requested LDAP funding. LDAP then contracts with other groups to organize the forums.

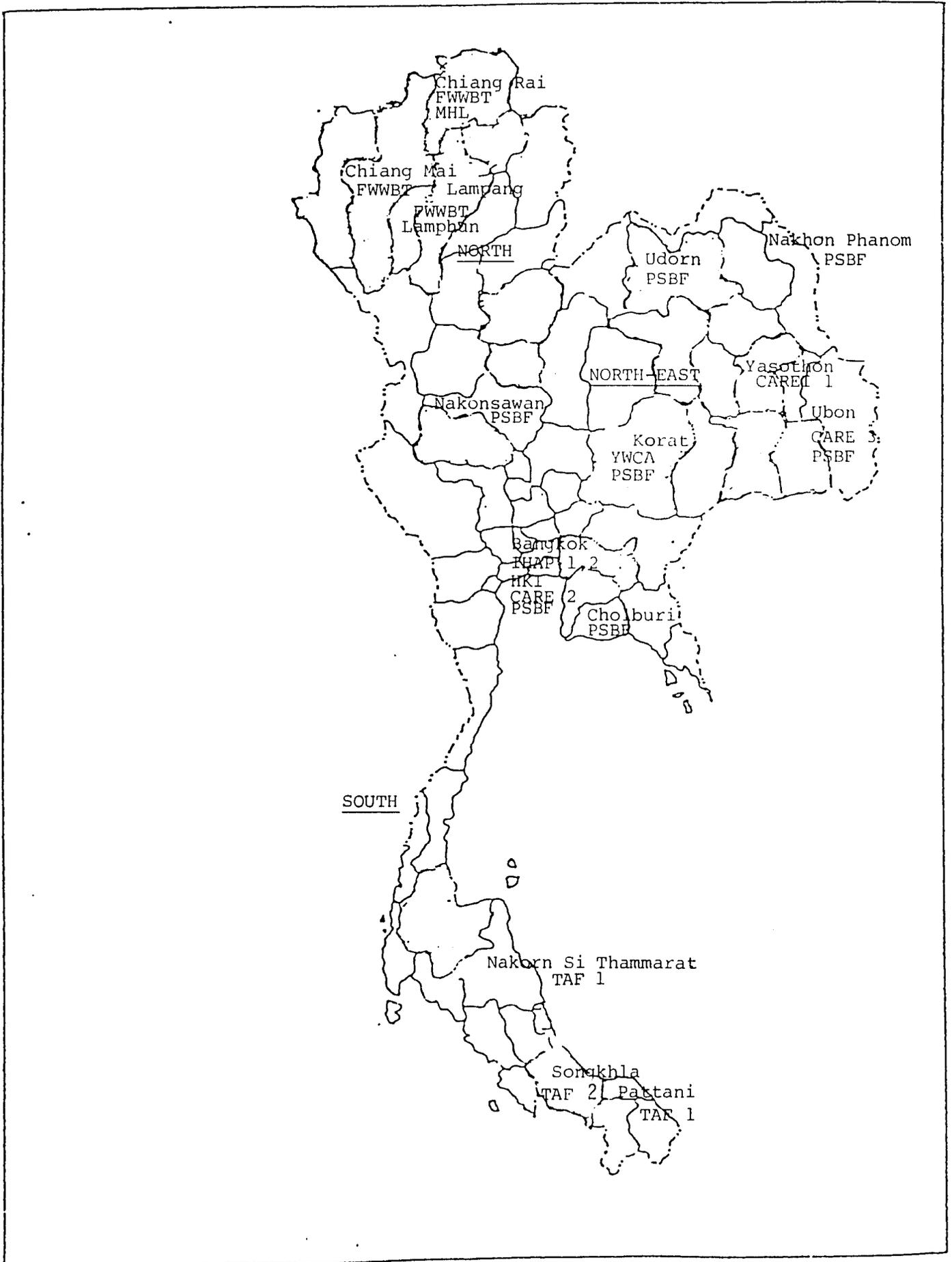
APPENDIX 17

Index of Acronyms

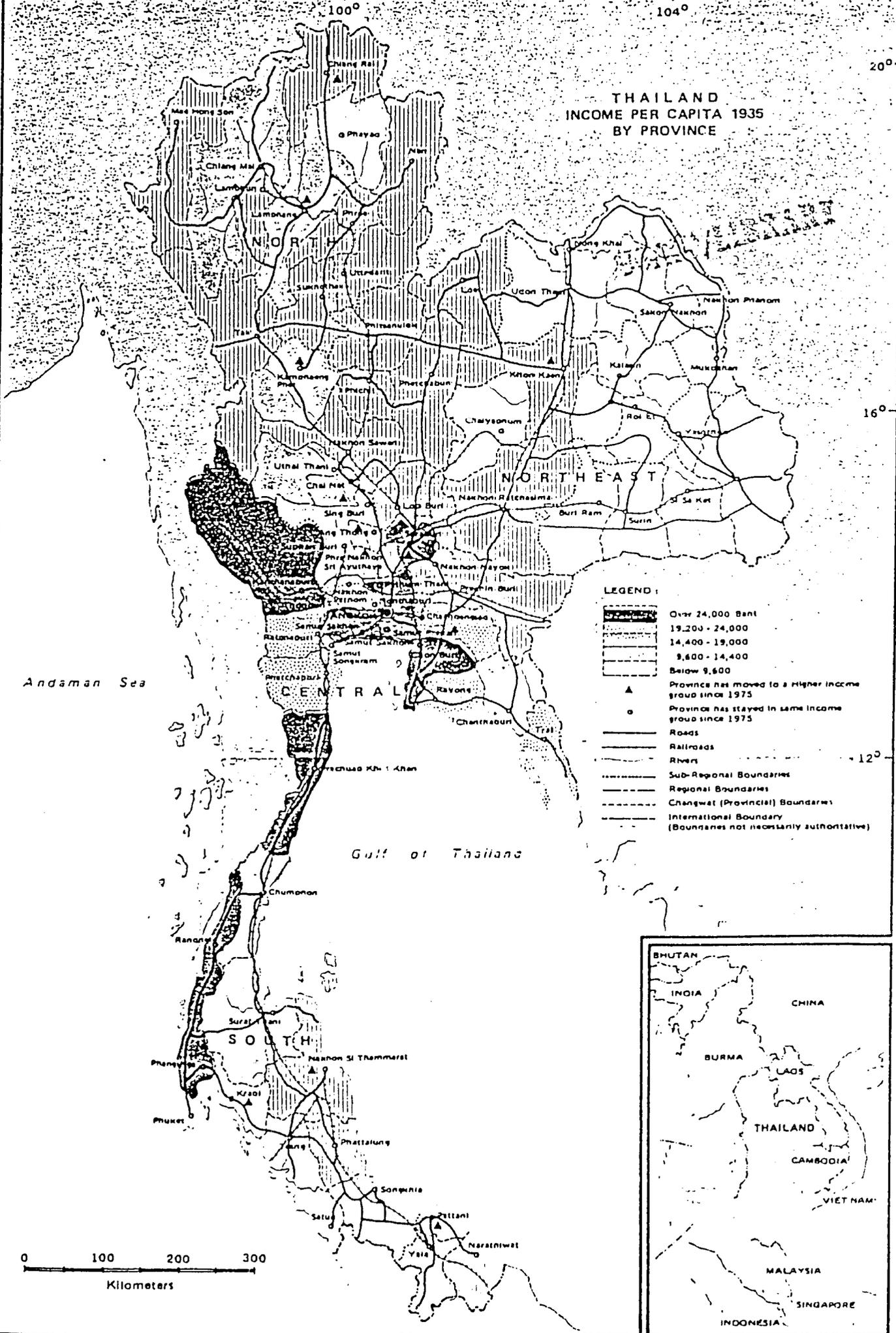
AID/ANE	AID Bureau for Asia and Near East
AID/CDIE	AID Center for Development Information and Evaluation
CDSS	Country Development Strategy Statement
CIDA	Canadian International Development Agency
Co-Fi	Co-Financing
CPA	Certified Public Accountant
DIS	Development Information System
DIU	Development Information Utilization Service
DTEC	Department of Technical and Economic Cooperation
FWWBT	Friends Women's World Banking Association, Thailand
GO	Government Organization
IHAP	International Human Assistance Programs, Inc.
IPVO*	Indigenous Private Voluntary Organization
HKI	Helen Keller International
LDAP	Local Development Assistance Program
MFL	Mae Fah Luan, Foundation
MOE	Ministry of Education, RTG
NCSW	National Council on Social Welfare of Thailand
NESDB	National Economic and Social Development Board, RTG
NGO*	Non-Government Organization
NGO-CORD	NGO Coordinating Committee on Rural Development
O/PDS	Office of Project Development Support
OPG	Operational Program Grant
PDA	Population and Community Development Association
PID	Project Implementation Document
PSBF	Pearl S. Buck Foundation
PSD	Project Support Division, O/PDS, USAID/Thailand
PSU	Prince of Songkla University
PVO*	Private Voluntary Organization
RDI	Research and Development Institute, Khan Kaen Univ.
RRAFA	Rural Reconstruction Alumni and Friends Association
RTG	Royal Thai Government
RUDOC	Rural Development Documentation Center
TAF	The Asia Foundation
TRRM	Foundation for Thailand Rural Reconstruction Movement
TVS	Thai Volunteer Service

* While some documents use NGO to refer to the voluntary sector, this term includes private-for-profit organizations, and hence this report generally uses the terms PVO and IPVOs because they refer exclusively to the voluntary sector.

CO-FI II Sub-Project Sites
THAILAND



THAILAND INCOME PER CAPITA 1935 BY PROVINCE



LEGEND :

-  Over 24,000 Baht
-  19,200 - 24,000
-  14,400 - 19,000
-  9,600 - 14,400
-  Below 9,600
-  ▲ Province has moved to a higher income group since 1975
-  ○ Province has stayed in same income group since 1975
-  Roads
-  Railroads
-  Rivers
-  Sub-Regional Boundaries
-  Regional Boundaries
-  Changwat (Provincial) Boundaries
-  International Boundary (Boundaries not necessarily authoritative)

0 100 200 300
Kilometers

