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THAILAND
RURAL DEVELOPMENT MONITORING AND EVALUATION
PROJECT PAPER

AID Project No. 493-C339

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C = Change
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A. Initial FY [84] B. Quarter C. Final FY [84]

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A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	2,536	2,464	5,000	2,536	2,464	5,000
(Grant)	()	()	()	()	()	()
(Loan)	(2,536)	(2,464)	(5,000)	(2,536)	(2,464)	(5,000)
Other U.S.						
1.						
2.						
Host Country	-	4,569	4,569	-	19,975	19,975
Other Donor(s)						
TOTALS	2,536	7,033	9,569	2,536	22,439	24,975

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) FN	284		200	-	-	-	5,000	-	5,000
(2)									
(3)									
(4)									
TOTALS				-	-	-	5,000	-	5,000

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code BR

B. Amount 5,000

13. PROJECT PURPOSE (maximum 480 characters)

To strengthen and institutionalize the monitoring and evaluation system of the National Rural Development Program so that it will provide the reliable and timely information needed by policy makers and field managers to effectively and efficiently manage and implement the RTG's Rural Poverty Alleviation Program.

14. SCHEDULED EVALUATIONS

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 Signature: Robert Halligan
 Title: Robert Halligan, Director, USAID/Thailand
 Date Signed: MM DD YY [10 4 3 0 8 4]

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
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LIST OF ACRONYMS AND ABBREVIATIONS

AID	Agency for International Development
AID/W	Agency for International Development/Washington
BOB	Bureau of the Budget, RTG
BUCEN	Bureau of the Census, U.S. Department of Commerce
CD	Community Development
CSC	Civil Service Commission
DDMP	Decentralized Development Management Project
EOPS	End of Project Status
ERR	Economic Rates of Return
ESF	Economic Support Fund
FECSC	Follow-up and Evaluation Coordination Sub-Committee
FY	Fiscal Year
IBRD	International Bank for Reconstruction and Development
IFAD	International Fund for Agricultural Development
IPIED	Information Processing Institute for Education and Development
JCC	U.S. Government Joint Career Corps Program
JICA	Japan International Cooperation Agency
MOAC	Ministry of Agriculture and Cooperatives
MOE	Ministry of Education
MOI	Ministry of Interior
MOPH	Ministry of Public Health

M&E	Monitoring and Evaluation
NESDB	National Economic and Social Development Board
NRDC	National Rural Development Committee
NRDCC	National Rural Development Coordinating Center
NRD	National Rural Development
NRDP	National Rural Development Program
O&M	Operation and Maintenance
PASA	Participating Agency Service Agreement
PID	Project Identification Document
PP	Project Paper
PSC	Personal Service Contract
RDM/E	Rural Development Monitoring and Evaluation
RCMO	Regional Commodity Management Officer
REGP	Rural Employment Generation Program
RPAP	Rural Poverty Alleviation Program
RTG	Royal Thai Government
SER/IRM	Office of Information Resources Management, Bureau of Management Services, AID/W
UNDP	United Nations Development Programme
USAID	United States Agency for International Development, normally refers to Mission in country.

THAILAND
RURAL DEVELOPMENT MONITORING/EVALUATION
PROJECT PAPER

1. SUMMARY AND RECOMMENDATIONS

1.1 Costs

Total Project Costs are as follows:

AID - Loan	\$5,000,000
RTG - Budgetary and In-Kind Support	<u>\$19,975,000</u>
<u>Total Project:</u>	\$24,975,000

1.2 Project Purpose

The Royal Thai Government has requested USAID assistance in strengthening monitoring and evaluation systems for rural development and in building the institutional capacity of the Government to operate and use such systems. The purpose of this project is to strengthen and institutionalize the monitoring and evaluation system of the National Rural Development Program so that it will provide the reliable and timely information needed by policy makers and field managers to effectively and efficiently manage and implement the RTG's Rural Poverty Alleviation Program.

1.3 Project Description

This is a four year project to provide technical assistance, training of government officials, equipment and operational support to develop and strengthen monitoring and evaluation systems in the Kingdom's National Rural Development Program (NRDP) with an initial focus on the Rural Poverty Alleviation Program (RPAP). The project has been developed in close collaboration with officials in the National Economic and Social Development Board (which requested this assistance), the Information Processing Institute for Education and Development at Thammasat University (which has prepared the preliminary design framework for an M&E system), the ministries and departments which both provide the data and use the system, and the World Bank which is expected to negotiate a parallel project in rural development.

The project will assist the National Rural Development Coordinating Center (NRDCC) in developing the institutional capability in its M&E unit to coordinate ministry/department and field level M&E functions, provide technical assistance to strengthen and rationalize ministerial M&E functions, and carry out its assigned responsibilities for general monitoring and evaluation of rural development programs. An examination of existing M&E systems and procedures, to identify present strengths and weaknesses, will be the basis for development of specific work plans to achieve project objectives.

Training, both long and short-term, and including orientation of a broad range of officials in system concepts, as well as in-depth training in specific system procedures, will be planned and undertaken in the project. Some supplementation of equipment necessary to operate the M&E systems will be financed (the major computer installation at Thammasat University for use in the system has been furnished by the Japanese Government). Substantial expatriate (through a PASA with the U.S. Bureau of the Census) and local technical assistance will also be provided, as well as support for operating costs of the M&E system.

The primary focus of the project will be in the NRDCC and the Information Processing Institute for Education and Development (IPIED) at Thammasat University, which will be the main institution building targets. Nevertheless, the project will devote a considerable amount of attention to the development of M&E capabilities and systems in the ministries/departments, and to the needs and roles of the field level staff who are directly responsible for sub-project implementation and for the gathering of most of the raw data. While the present model for the M&E systems is developed in the context of the Rural Poverty Alleviation Program, the aim will be to gradually and progressively adapt the newly formulated M&E processes to the broader range of rural development programs.

1.4 Analyses - Summary Findings

The analyses in the project paper conclude that the project is economically, socially, administratively and technically feasible. The financial and implementation plans are sufficiently developed so that project implementation can begin as soon as the technical assistance team has been selected. It is concluded that the project is feasible, that it can contribute substantially to the refinement and strengthening of the M&E systems, to the building of an institutional capability to operate and continue to improve these systems, and eventually contribute significantly to improved management and cost-efficiency of rural development programs.

1.5 Waivers

Two right-hand drive mini-buses are required for the project. Since U.S. auto manufacturers do not make vehicles of this type, a waiver has been included in the project authorization to permit procurement in a Code 935 country.

1.6 Recommendations

That the project paper be approved, and that \$5 million of loan assistance be authorized so that the project can be undertaken according to the implementation plan.

1.7 Project Design Committee

USAID

Mr. Willy Baum, Office of Project and Engineering Support
Mr. Jerry Wood, Office of Agricultural Rural Development
Mr. Det Trisahd, Office of Agricultural Rural Development
Mr. Thomas Fallon, Office of Finance
Mr. Warren Exo, USAID Consultant
Mr. Robert Muscat, USAID Consultant

RTG

Mr. Kosit Panpiemras, Director, NRDC
Mr. Pairoj Suchinda, Secretary, NRDC
Ms. Chittra Wongpanit, Chief, Monitoring and
Evaluation, NRDC
Mr. Suparat Manmin, Senior Economist, NRDC
Dr. Thanet Norabhoompipat, Director, IPIED

2. PROJECT DESCRIPTION

2.1 Introduction

In 1981 the Royal Thai Government (RTG) initiated the National Rural Development Program (NRDP). The principal objectives of the NRDP are to undertake a coordinated approach to rural development and to alleviate poverty in rural areas. The NRDP supports village level projects to increase food production and to meet other basic health, education and infrastructure needs. As a longer term objective the program seeks to increase employment opportunities and the level of economic activity in the resource poor, poverty areas. The Program concentrates on four elements that address current priority concerns; viz. the Water Resources Program, the Security Program, the Rural Employment Generation Program (REGP), and the Rural Poverty Alleviation Program (RPAP).

The Water Resources Program is aimed at making more water available to rural residents outside irrigation areas. Greater water availability will provide for crop production, domestic consumption, livestock production, dry-season vegetable growing, and fish raising. The projects under this program include construction of water storage tanks, dams and weirs, pumps and canals, deep and shallow wells, and drainage systems; flood control; saline water control and coastal land improvement.

The Security Program is to provide increased national defence capabilities and support for economic and social development in rural areas which are under strong threat of communist infiltration. Specific objectives of this program include establishment of about 4,200 volunteer self-defence and development villages in the central, northern, northeastern, and southern regions of the country. Some villages being established along the Thai-Kampuchea border receive assistance for economic and social development activities from AID ESF funds under the Affected Thai Program (493-0327).

The Rural Employment Generation Program (REGP) provides block grants to township councils to fund implementation of council-planned programs. Management of these grants promotes popular participation in problem identification, problem solving and decision making, as well as results in community ownership of and responsibility for public facilities. This process is designed to foster increased cooperation between the councils and government agencies, and to concurrently upgrade the capability of the councils to plan and implement development programs. This program is 5 years old and is assisted by an AID project, the Decentralized Development Management Project (DDMP, 493-0315). The DDMP funds technical assistance teams stationed in five provinces and Bangkok that focus on developing a more in-depth understanding of the rural development process, help strengthen planning and implementation capabilities of local councils and government agencies, and draw lessons from these specific locations regarding ways in which the rural development process can be strengthened.

The Rural Poverty Alleviation Program (RPAP) is designed to be the primary mechanism for optimizing resource allocation and synchronizing line agency support for the rural development program. The RPAP is divided into three sub-programs (self-help, productive enterprises, and infrastructure), with thirty-two specific project activities authorized for funding (see the list in Annex N). During the Fifth National Economic and Social Development Plan (1982-86), a start has been made to link the planning processes with the RTG budget in a meaningful way; to define and institutionalize the relationships between ministries, departments and provinces (including provincial, district and village levels); to increase the validity of setting priorities at each level; and to establish a standing, high-level policy-setting structure to provide coherence and continuity in a national framework for rural development.

To date the RPAP and the REGP, as the two largest program components of the national strategy, have been administered separately with the RPAP focused on poverty districts and the REGP operational in all

districts throughout the Kingdom. The RTG has announced a planned merger of these programs by FY 1986. The merger should bring together and capitalize on the decentralized structures and authorities that are being developed through the REGP and the improved mechanisms for central resource allocation by RPAP and line agency support being developed by both.

To implement the National Rural Development Program (NRDP), the RTG set up a National Rural Development Committee (NRDC), chaired by the Prime Minister, to formulate policy and to issue guidelines for coordinated implementation. Coordination responsibility under the NRDC is assigned to the National Rural Development Coordinating Center (NRDCC), a unit within the National Economic and Social Development Board (NESDB). This mechanism enables formal, senior-level meetings and negotiations between NESDB, Bureau of the Budget (BOB), and the line ministries responsible for implementing rural development projects (Ministry of Agriculture and Cooperatives, Ministry of Public Health, Ministry of Interior, and Ministry of Education) through which NRDP priorities, projects, and budget levels are established.

To help finance its implementation of the RPAP for the remaining three years of the current Fifth Plan (1984-86), the RTG has completed negotiation of a co-financing plan which will provide a loan of \$50 million from the International Bank for Reconstruction and Development (IBRD, or World Bank), and participation by the Japan International Cooperation Agency (JICA) (\$2.1 million), United Nations Development Program (UNDP) (\$0.8 million) and the RTG (\$80.9 million). The IBRD funding will support program activities of the Ministry of Agriculture and Cooperatives (MOAC) and Ministry of Interior (MOI). The JICA funds have supplied a computer installation at Thammasat University and the connecting terminals. The UNDP funds will support the development of an overall training strategy and detailed training programs (but not training itself). The RTG, the World Bank and USAID have agreed that implementation of the program and the activities to be financed would be strengthened through provision by USAID of technical assistance for the monitoring and evaluation system planned to serve the rural development program.

2.2 The Rural Poverty Alleviation Program (RPAP)

Thailand's overall development has brought the incidence of poverty down from 57% of the population in 1962/63 to below 30% at present. The poverty that remains is largely rural, with a heavy concentration in the Northeast and other peripheral areas. The RPAP program covers 12,555 villages (in 286 districts) located in 38 of the country's 73 provinces, with a population of about 10 million. While the residents of these villages have benefited to some extent from overall economic growth, they remain relatively disadvantaged compared with other parts of the country. This is primarily due to their relatively poor resource base, the declining yields being experienced on marginal lands put under cultivation in recent years, the generally lower level of education and other facilities for human capital development, and the relative lack of local facilities and services needed to meet minimum basic human needs.

Integration of development programs operating in these jurisdictions has been difficult to bring about due to the centralization of decision-making in Bangkok, the autonomy of implementing departments, poor coordination between departments, the high ratio of Bangkok to field staff, and the position of provincial governors and district officers as line officials of the Ministry of Interior (MOI) with limited authority to coordinate across departmental lines. The problems caused by these structural aspects of the RTG bureaucracy have become increasingly evident in recent years as the RTG attempted several forms of rural development programming and found them to be seriously hampered by these administrative weaknesses.

The current Program has been designed to improve the efficiency of rural development by targetting funds on poverty areas where they are most needed, and to improve the procedures and incentives for Government agencies and local communities to increase the cost-effectiveness of their participation in rural development.

RPAP is designed to allow individual ministries to retain authority over and a good deal of flexibility in implementation of the thirty-two approved project activities. It enables the NRDCC to impose a high degree of discipline and accountability, but at the same time does not encroach on individual Ministerial authority. Another important feature of program design is that the system encourages opportunities for substituting the traditional "top-down" management of the program with provincial, and eventually district, initiatives. The Program places considerable emphasis on involving local communities in the selection and implementation of projects in their areas.

Some progress, limited but unmistakable, has been made under the RPAP. A degree of decentralized decision-making with respect to program content for each district and village has been introduced. Several steps have been taken to improve field level coordination in planning and implementation. A planning, budgeting and monitoring system has been introduced to incorporate these decisions and processes into a common framework. Orientation and training activities have been undertaken to prepare officials at each level for the roles and responsibilities they are expected to carry out. The government inputs and responsibilities for implementation have been assigned to project managers in each of the four principal operating ministries, Agriculture and Cooperatives, Public Health, Interior, and Education, responsible for the thirty-two approved project activities. The improved feedback on implementation and impact resulting from this monitoring and evaluation project will contribute to the broad objective of sustaining these structural advances and enhancing the long-run viability and effectiveness of RTG rural development programs and policies.

2.3 The Current M&E System - Improvement Needed

The need for this project arises from a recognition by RTG program managers that the current monitoring and evaluation system is not influencing policy and operational level decisions in intended ways. The

RTG has made considerable efforts in the past two years to develop and install an elaborate system of information flow, covering planning and budgeting, monitoring, and evaluation. However, the system is basically weak because of incomplete structure and shortcomings of data collection, collation, analysis and feedback. The present system design and the revised perspectives and directions suggested in this project paper are aimed primarily at systematizing, strengthening, and institutionalizing the M&E processes for the RPAP. In addition, however, it is intended by the RTG, through the implementation of this project, that these processes will be extended gradually and progressively to the other ongoing development programs of the four ministries primarily involved in the National Rural Development Program.

This project paper draws heavily on the extensive work done by the Information Processing Institute for Education and Development (IPIED) with the assistance of IBRD staff. This work is contained in an analysis and project proposal completed in June 1983, prepared in collaboration with the IBRD. In the course of designing this project, some additional perspectives emerged, partly based on more extensive examination of the ministry and field level aspects of current monitoring and evaluation (M&E) activities. This has resulted in a recommended design with some different emphasis than contained in the IPIED/IBRD proposal.

The project is designed to identify system shortcomings and undertake corrective actions to the extent possible throughout the project. Therefore, not all details of the final system can be clearly set out in this project paper. This seeming lack of preciseness at this stage stems from two different characteristics of the problem, one substantive and the other organizational. The substantive problem arises from the very disparate nature of the activities comprising the Rural Poverty Alleviation Program, the great variety in the conceptual and operational condition of the different departmental monitoring systems, and the weaknesses of the monitoring instruments specially introduced to serve the rural development programs. The organizational problem arises from the fact that the program

comprises numerous agencies and departments of the RTG whose information flows must be brought together and synthesized for monitoring and evaluating purposes. Relative roles and responsibilities for M&E have been changing and will need further clarification and rationalization throughout the project. We can and will, however, define the key characteristics and indicators of the strengthened system that is envisaged. (See Section 2.9, Broad Principles for an Effective M&E System).

2.4 Functions of the Monitoring System

For sake of clarity, the monitoring component of the M&E system is here separated from the evaluation component. The evaluation component is examined later (in Section 2.7 and beyond).

The monitoring system for the RPAP is designed to serve the following functions:

- a) document the project planning and budgeting process and program makeup, by project and location in each Province;
- b) help ensure that the inevitable processes of program adjustment that occur between initial planning, final budgeting, and actual implementation, remain within the designated poverty areas and consistent with RPAP principle;
- c) record progress monitoring data to facilitate analysis of implementation experience and identification of management problems, and provide feedback for the next annual planning/budgeting cycle; and
- d) record and facilitate the analysis of data indicating or measuring i) outputs of individual projects, ii) the effects of individual projects on the beneficiaries, and iii) the overall impact of the programs on village life, in order to ascertain the effectiveness of the specific programs involved and to track the alleviation of poverty over time.

It is important to note that while the term "system" is used herein to cover several different information tracks that are seen by the NRDC as belonging to a related set of monitoring activities, the separate tracks in fact have separate histories and purposes, and were created by separate RTG agencies at different times to meet their own monitoring requirements. The elements of the system in their present form are described below, and their problems briefly indicated.

2.5 The Monitoring Process

Monitoring of government programs in the designated poverty villages is now being done under several tracks. Each of the departments of the four operating ministries, carrying out their respective activities under the 32 presently designated RPAP projects, operates a field reporting system. These systems vary by department, with different degrees of integration or commonality at the ministry level. Some of these reporting systems were not created for the poverty program areas, but are applied generally wherever these departments are operating. The systems are not uniform with respect to quality, the degree of control exercised over the reporting, timing, etc.

Financial data are not now integrated into the monitoring process. RTG reporting of expenditure flows operates along entirely separate tracks. It does not appear, however, that expenditure data are timely enough at present to serve as a reliable indicator of actual physical progress of projects; nor are they reported in a manner that would provide information that would serve as management feedback. Nonetheless, the possibilities for integration of financial and physical indicators will be explored under this project, especially since delay in receipt of expenditure authority has been cited as a frequent cause of delay in implementation.

In addition to the existing ministry and department systems, some province and district offices have developed their own procedures for monitoring and reporting on implementation of field projects. Further development of the national M&E system for the RPAP villages should take account of these local initiatives. Workable approaches developed close to the ground should offer good ideas for procedures and content that could be incorporated in the NRDP system. One of the early objectives of this project will be to scan the RPAP jurisdictions to identify these initiatives and to cull ideas that might be generally suitable. The project is expected to arrange regular workshops for exchange of local experience among provincial officials. Such sessions will promote common understanding of the RTG's whole approach to administering the rural development program for the Sixth Plan period. Details of timing and budgeting for the above will be included in the project's annual workplans.

2.6 Problems of the Existing Monitoring System

As described by RTG officials working with these different monitoring tracks, there are numerous problems that reduce the effectiveness of the systems for their individual purposes and that make integration for overall policy planning, coordination, management and evaluation of impact difficult. These problems, described briefly are as follows:

a) Basic concepts of monitoring (and evaluation) need to be clarified; the lack of standard definitions and distinctions is partly due to the lack of comparability between Thai and English terms.

b) The monitoring flows appear to be designed mainly to serve senior central managers, with the district and provincial levels seen as information sources rather than information users. The forms designed in Bangkok do not appear to be useful at field levels, as reflected in the initiatives being taken in some jurisdictions to develop local forms and monitoring systems in addition to those required by NRDCC, FECSC and the

operating departments. In addition, M&E is seen essentially as a process for checking on the field. These problems are widely recognized by the ministries. It is important to note that two or three of the operating ministries are trying to rationalize their reporting systems to reduce paperwork and encourage transmission of reports on time.

c) Training has not been adequate to ensure that the large numbers of people involved in recording information have consistent understanding of the instructions and perform their responsibilities consistent with those instructions.

d) The creation of separate information tracks has resulted in duplication of reporting and a heavy total reporting load for operating personnel.

e) Some of the indicator data lose their significance when aggregated over a large number of village locations, or taking several projects together.

f) Some of the information called for is ambiguous as an indicator of extent of progress toward implementation targets.

g) Manual copying of data for form duplication, entry of the same data on different forms, and summation at higher levels, introduces errors, and is very time-consuming.

h) The timing of submission is not uniform or always prompt according to scheduled requirement.

i) There is a lack of qualitative data and experience in gathering/utilizing it.

j) The prevalent perception is that M&E is a separate exercise rather than an integral part of the program management system.

This project will systematically attempt to correct those problems and make the monitoring system a relevant and timely component of the RPAP and NRDP decision making process.

2.7 Evaluation Process

The evaluation component of the current M&E system is even less well developed. The distinction between monitoring and evaluation has not been made clear. This is reflected in the lack of precision and selection of the indicators now in use. More fundamentally, the extent to which the different departments undertake systematic analysis of evaluative data, geared to their specific managerial functions, is very uneven.

The NRDCC expects the evaluation process to include: (a) three levels of project evaluation -- i.e., operation of target programming, evaluation of project performance (e.g. analysis of project input or implementation problems) and evaluation of project in delivering proximate outputs (e.g. completion of construction, or delivery of training courses) and evaluation of project effectiveness in achieving the objectives assumed to flow from delivery of the outputs (e.g. changed production practices, improved health status); and (b) evaluation of the aggregate, total program impact on the communities.

Each level of evaluation requires different information and different analytic methodology. Each level is of importance to different levels of management within each of the operating departments and different levels of the NRDC, NESDB and the Cabinet in undertaking their overall coordination and policy responsibilities.

Evaluation of total impact - (b) above - on a village or district level also requires a different mix of information, and different methodologies, than are characteristic of the monitoring systems which are limited to data pertinent to the separate projects, i.e. the three levels of (a) above. Evaluation of total impact will need to include data on economic

and social conditions not captured by the monitoring system, and will need to examine causal relationships that take account of factors (e.g. agricultural produce prices) that are part of the context within which the projects are introducing a particular set of changes.

Not surprisingly, evaluation efforts are at different stages of development within the various departments. The evaluation methodologies appropriate for different technical subjects are tailored to these technical characteristics. Some departments (e.g. fisheries, nutrition) are working very actively to install evaluation processes; some are benefiting from specialized technical assistance. The NRDP data system has yet to draw on these departmental M&E systems, although in some cases these departmental systems already appear (or will be) capable of providing good quality indicators. This project will foster such interaction.

In addition, the ministries as a whole are not benefiting from the problem identification and analysis potential already present in these information flows, since the departments responsible for the different poverty projects have their individually designed and operated reporting and monitoring systems. The ministries recognize this problem and are taking corrective steps. This project will help promote intra-ministerial M&E coordination, working with individual department monitoring methodologies and through the office of the ministerial coordinators already in place within the rural development oversight structure.

The relationships between (and definitions of) project outputs, project effects or impact, and overall development and change in target areas (or target populations) must be clarified. Without greater clarity, evaluation of results of the RPAP may be misleading. That is, the RPAP village sub-projects by themselves do not unilaterally provide planned benefits and are not solely responsible for all changes in a village, even though these sub-projects are significant. Establishing a means of clarifying and evaluating the precise impact of sub-projects, projects, and programs is a major planned output of this project.

2.8 Special Evaluation Studies

Besides the evaluation process described above, it is expected that two types of special studies will be undertaken: (a) to verify or supplement information coming through the M&E system, and (b) to provide information needed to prepare the next five year economic development plan.

With regard to the former, a process for generating non-routine data will have to be developed as part of this project. For example, if the expected benefits of a sub-project are dependent on factors outside the sub-project or outside the village, the external factors would have to be identified and the inter-relationships defined. It will be more complex, however, where project output is only a partial determinant of expected change in village status, and where there are significant determinants not addressed by RTG programs. The evaluation of why the programs are not achieving status improvement would then have to rest on non-program data which must be generated by analytic techniques appropriate to the particular problem.

Information may also have to be generated to assist in planning for the next five year plan. While the agenda for such cross-cutting evaluation studies will be set as the project progresses, it may be useful to give some illustrations of the range of problems that might be examined by NRDCC:

Is the distribution of funds and project types among the villages/districts introducing new imbalances between villages, or village perceptions of new imbalances? What kinds of methodologies are best suited to different types of projects under field conditions in rural Thailand? Are any of the projects tending to concentrate benefits on villagers who are already relatively better off?

2.9 Broad Principles for an Effective M&E System

The following principles will guide project efforts to strengthen the NRDP M&E system.

1. The M&E system must be seen by the project and program managers at each level as belonging to them and serving their needs if they are to have the incentive for quality and timely performance of M&E functions (recording, collation, transmission, etc.)

2. The flow and levels/location of data and analysis must be geared to the locations of management decision-making and administrative responsibility for implementation. For example, implementation progress reports that show frequent lags between planned accomplishment dates and actual performance should feed back to those officials (and their supervisory levels) responsible for managing the activities in question, and to those officials responsible for planning (who may have set unrealistic targets that should be stretched out in the next planning cycle).

3. The system should be structured to provide enough data, of the right kinds, so that required analysis and desired information can be obtained; but it should avoid excess data that will overburden the system with little added pertinent information.

4. The system should signal problems -- performance shortfall, absence of coordination, absence of impact, etc. -- that can be brought to the attention of NRDC and appropriate decision-makers.

5. The system should include an evaluation capability in NRDC and appropriate ministries, to analyze management problems identified by the monitoring process, and to provide feedback to policy and program planners on the effectiveness and impact of the projects at the village level.

6. People working in the system must receive on-going training to enable them to perform as expected.
7. Equipment must be sufficient in quantity and adequate in technical specification to support the system.
8. The M&E system itself should include provision for internal assessments and adjustment to allow for modifications to be introduced during implementation/operation of the system.
9. Since some monitoring, but little evaluation, now takes place at the key provincial level of implementation of RPAP projects, special attention must be given to integration of M&E as a tool in the process of strengthening the management functions at the field levels.
10. The system should provide for regular review of the quality and timeliness of input processes, and of recurrent data needs, formats, etc.
11. Throughout the entire process of developing the M&E system, provision needs to be made to interact with provincial and district levels, most likely on a selective basis, using some field personnel as consultants.
12. Provision should be made for monitoring key factors (primarily economic) outside the information being collected by the M&E system itself that may have impact on poverty status and some of the projects themselves. Provision should also be made for identifying needs for special analyses that would sort out effects of these external factors on the impact of the RPAP. Such studies could lead to recommendations to other relevant RTG agencies whose activities or policies are affecting economic/social status in RPAP districts.
13. The overall system and its several components should be developed in steps, with the necessary increases in complexity introduced over time.

The project has been designed in accordance with these principles. While the final structure and system cannot be defined at this time, the project will help clarify what that improved structure ought to consist of, and to help introduce the equipment, training and other activities needed to move toward that strengthened system. This will include an emphasis, over time, on greater utilization of and benefit from M&E systems at the local level. Self-help and self-reliance are central objectives of the rural development program. To the extent that projects can incorporate village-level, self-operated processes of local monitoring and (in some cases) evaluation of impact, this approach should be encouraged. Where appropriate, the departments will be assisted to extend simple M&E elements to the village level.

The ideal system would provide each level of management with the monitoring and evaluation data it needs to perform its analytic responsibilities and to support its decision-making needs. It would also be flexible enough to change its data and analytic processes and the structure of information flows in response to changes in managerial responsibility or RTG needs over time. The biggest technical challenge in this respect is the development of the system in such a way as to support the RTG policy of gradually increasing the efficiency and degree of responsibility of management in the "lower" levels. To the extent possible, this project will build the foundation for a comprehensive M&E system.

2.10 Project Goal and Purpose

The goal of this project is increased efficiency and cost effectiveness in the planning and implementation of the National Rural Development Program. The purpose of this project is to assist the RTG to strengthen and institutionalize the monitoring and evaluation system of the National Rural Development Program so that it will provide the reliable and timely information needed to effectively and efficiently manage and implement the Rural Poverty Alleviation Program. At the end of this project, the following objectives should have been achieved:

1. NRDC's M&E unit with the assistance of IPIED will have the capacity to a) coordinate ministerial, NRDC and field level M&E functions; b) provide technical assistance to strengthen and rationalize ministerial M&E functions; and c) carry out its assigned responsibilities for general monitoring and evaluation of rural development programs.
2. The NRDC, and the ministries and implementing departments will be using the information and reports flowing from the M&E systems in the planning and decision-making processes of the RPAP.
3. A reliable data base on conditions in the poverty districts of RPAP, and on the programs and projects designed to alleviate those conditions will exist.
4. The NRDC, with technical assistance from IPIED, will be able to carry out the analytical processes necessary to evaluate the effects and impacts of the RPAP, its sub-programs and projects.
5. The roles and responsibilities of the several agencies in the NRDP programs, especially as they relate to the RPAP, will be clarified and in place.
6. The ministries will have increased capability to coordinate program planning, project implementation monitoring and impact evaluation.
7. IPIED will have the necessary data processing capability and analytic capacity to record and process the flow of M&E data, and the skills to continue to refine the systems design for production of the required analyses and management information to be used by NRDC and the line agencies.
8. The provinces and districts will be reporting more timely and accurate M&E data, and reports will flow back to these units for field-level monitoring and evaluation purposes.

9. The monitoring systems of the ministries/departments will be more rationalized and coordinated within the overall M&E system.

To implement this project, AID will finance approximately eight person years of expatriate consultant services and seven person years of Thai consultant services at a cost of about \$1.3 million. About \$0.9 million will be spent on commodities and operation and maintenance needs. Training of government personnel will absorb another \$1.1 million. The cost of gathering and processing information will receive supplemental financing of about \$0.9 million under systems operation. The remaining project funds, about \$0.8 million, will provide financing for evaluation studies, project evaluation, and contingencies. These inputs and the role they play in the project are detailed in Sections 4 and 5 of this project paper.

2.11 Relationship to Policy and Strategy

This project is consistent with Agency institutional development policy and priorities established for the 1980's. Strategically, the project is concerned with developing an on-going institutional capacity, not only in Bangkok but also at the various field levels where responsibility rests for implementation of rural development activities. The project designers recognize that improvements in information systems which facilitate feedback are but a first step; that the test of effectiveness will be the institutional commitment to fully utilize the systems as tools of management. We believe that this commitment is there; the RTG has expressed the strong desire to have an improved system in place by the time the Sixth Plan begins in 1987. The RTG plans to utilize this new system to assess on an on-going basis the planning and management procedures that are needed to cost-effectively focus resources on poverty alleviation programs rather than on traditional projects of individual line agencies. The major focus of the project will be to strengthen the cadre of personnel working on the M&E system. Also, through this project, we expect to help the RTG determine the resources needed - personnel, equipment, and financial-to implement an M&E system over the long-term. By phasing AID inputs, we will ensure that the RTG is able to pick up full costs by the end of the project.

The project is also consistent with the Asia Bureau Strategic Plan, which calls for strengthening of human resources and institutional capacities with special emphasis on the development and application of relevant technologies. The Rural Development Monitoring/Evaluation project is explicitly designed to identify the most relevant, i.e. cost-effective, subproject activities and to build human/institutional capacity to administer them at both the national and local level. In terms of the USAID Mission's country development strategy, this project is a transitional activity reflecting the current program emphasis on problems of poverty in Northeastern Thailand. In supporting the NRDP, however, we are also focusing support on the long-term objective of that Program--increased employment opportunities in resource poor, poverty areas. It therefore will provide an important input to the Mission's new program focus on rural employment and industrialization. We, in fact, see the M&E system as an important tool in evaluating the effectiveness of our new strategy. This project is an important complement to existing USAID projects centered on agricultural and rural development, health and family planning. The results and lessons learned through the M&E system will be applied to these on-going AID projects.

2.12 Response to the PID Cable

The PID points to institutionalization measures as the main issue facing the project. Considerable attention has been focused on this question during the project design phase. An effort has been made to encompass the core institution-building needs of each of the components of what is a complex network of monitoring and evaluating functions. The training needs have been identified and discussed at length with appropriate RTG officials. They range from advanced academic technical training to short-term courses for specific skills, to orientation and workshop exposure for large numbers of operational staff at various field levels. In the course of project design, the focus on requirements for effective evaluation has been strengthened and the distinction between monitoring and evaluation functions have been sharpened. We have included an illustrative list of special evaluation subjects, and included funding for training in evaluation methodology.

Commitments have been obtained from the RTG to maintain necessary staffing levels to carry out M&E functions, especially for the NRDCC/IPIED core of the system. While beyond the scope of this project, there is good reason to believe that systems developed will have application that extends to programs other than those in the designated poverty areas. The project design recognizes that an important mode of institution-building is the promotion of a professional network among the staffs involved in M&E in the several agencies and departments participating in the project. The design stage has resulted in a clarification of desirable relationships between departmental M&E systems and the integrated M&E framework and provided guidelines for required decentralization as raised in the PID cable.

As suggested in the cable, the financial analysis section of this PP has addressed the subject of recurrent cost. It shows that the RTG will undertake increasing levels of financial commitment for such costs.

The evaluation plan for this project is considered adequate. Besides the AID mid-course process evaluation and comprehensive end-of-project/ evaluation, there will be major annual evaluative reviews in which the foreign lenders and RTG agencies involved in the RPAP will review progress of the entire package of activities being assisted by the co-financing donor agencies.

Vehicle procurement under this project will be limited to two mini-buses for NRDCC, as described in the procurement plan section.

3. FEASIBILITY ANALYSES

3.1 Economic Feasibility

Given the problematic trend of growing budget deficits over the last several years, most economic observers agree that the RTG must continue to restrain expansion of public expenditures by carrying out its activities

more effectively and efficiently. The RTG has thus expressed its keen interest in improving efficiency in use of budget funds. The fact that successive Thai administrations have annually appropriated in excess of \$130 million for special rural development programs without any effective means to evaluate the impact of the programs gives an indication of the magnitude of potential cost savings that even a 10% improvement in efficiency would yield. Given statistical measurement constraints, a practical analytical tool of the project will be an ongoing use of cost-effectiveness analysis. This will be a particularly useful tool for the annually scheduled RTG/foreign donor progress reviews and ultimately should become a regular feature of RTG monitoring and evaluation procedures.

The poverty status monitoring and associated evaluation studies, especially examination of the relative roles and relationships between government projects at the village level and economic framework factors (prices, marketing, etc.), should contribute to improvement of general policy-making and planning for rural economic growth. At the same time, the Project will study and provide recommendations on key strategic issues such as improved methods of identifying poverty districts, system analysis of socio-economic interactions, beneficiary impact, recurrent cost, and subsidy analysis.

Finally, it is important to note that strengthening of the M&E system is an integral component of an overall program to alleviate poverty. The IBRD Rural Development Loan and this project are closely related in their support of that program. The benefits expected to flow from the inputs under the IBRD loan are, in reality, joint outputs of the IBRD/USAID elements. From this perspective, the present project can be viewed as essential for realizing the economic benefits expected from the resource inputs of the IBRD loan.

Because of the nature of RTG poverty and service programs to be undertaken by the RPAP, one would expect measurable economic returns to be relatively low. To quote the IBRD project report analysis:

"Given the resource poor nature of rainfed areas in which, ipso facto the rural poor are most concentrated, it must be expected that most production packages will give only marginal returns. Crop diversification and intensification cannot begin to take place significantly in such areas until the shorter-term constraints are on the way to being alleviated, i.e. the risks associated with tampering with the relative balances in subsistence rainfed agriculture, need to be buffered by an increase in off-farm employment opportunities, and by more extensive basic education and vocational training before and significant change can take place. An important short-term goal of the RPAP therefore, would be a holding operation, through which basic needs are provided, and productive employment generated to reduce the growing migration to urban areas ..."

Interestingly, however, IBRD economic cost-benefit analysis of selected representative, RTG rural programs appears to demonstrate reasonable levels of return on those activities tested.

"Analysis conducted for 13 out of the 16 agricultural sub-programs and the one of the two infrastructure related sub-programs gives an economic rate of return 12.4% when computed for 67% of the project cost. ERRs for subprograms range from 10% to 17%. (Rates of return in financial terms are considerably better, i.e. when family labor is not costed.) Within subprograms, considerable variability in rates of return can be expected, depending on levels of local skills and resources. The process of learning through implementation is, however, a necessary and important feature of the program. The 12.3% overall ERR is low, but this is considered satisfactory for an investment in resource poor areas where there are very limited alternative investment opportunities and where growing unemployment and poverty can be expected to create even more serious social problems and migration to the already overcrowded major urban areas."

In summary, it is felt that the economic benefits attributed to the project activities will be of acceptable levels and will include:

(a) Increased effectiveness in program design, as activities and effects are tracked over time, and management attention is drawn to weak impact of specific projects, and as evidence of weak impact is fed back into the planning process so that the mix of projects can be improved.

(b) Increases in efficiency across a broad range of small-scale projects as better management intelligence enables different levels of the RTG management system to tighten up program execution, in terms of both content and timing.

(c) Increased likelihood that equity in distribution of project benefits is obtained, through the initial poverty identification process, and sustained, through recurrent monitoring of change in poverty status as the basis for project location.

(d) External economies as improved planning on an area basis increases the scope for efficiencies of interaction of related activities.

(e) Savings on overhead costs as identification of lagging implementation leads to actions that speed up project progress.

(f) Time saving for field staff as redundant or unnecessary monitoring is eliminated.

3.2 Social Soundness Analysis

3.2.1 Social Soundness

The Rural Poverty Alleviation Program focuses very directly on the education, health, food production, employment generation and other elements of basic minimum needs in the poorest villages of Thailand. The goals of RPAP are the prime objectives of AID assistance generally. In addition, the M&E processes are closely linked to achievement of bottom-up planning and self-help objectives of RTG rural development policy. The planned merger of RPAP and REGP by FY 1986, as discussed earlier, will strengthen the mechanisms for channeling expression of local need as the experience of REGP in community based decision making and management is brought to bear on the process.

As noted above, it is the intent of the RTG to apply the M&E system to rural development oversight throughout the country, after the application in the RPAP areas has developed the system to the anticipated level of effectiveness. The spread in application of M&E processes should occur easily and without special AID attention beyond this project. The operating departments recognize that the current system of project monitoring has basic weaknesses, so the strengthened capabilities developed with assistance from this project should extend naturally beyond application to RPAP areas. The location of NRDCC within NESDB also should provide opportunity for increased professionalism of evaluation activities of other NESDB staff concerned with other aspects of development in rural areas. The communication of ideas and experience among provinces envisaged under the project should also serve to strengthen the spread of interest in local M&E initiatives and knowledge of tested approaches. The social benefits that will be enhanced by achievement of the objectives of this project would then be strengthened in other areas as well.

Finally, given the nature and record of the rural poverty program, no question of social or cultural acceptability occurs with respect to this project. The RPAP is an on-going RTG program, is based on a greater degree of local planning than traditional programs of the RTG, will be strengthened by the merger with REGP, and appears to be a popular program.

3.2.2 Women in Development

We estimate that more than half of the people to be trained under this project will be women. Women are represented at almost all levels of the Thai bureaucracy, but they are especially well represented in records keeping and data processing activities throughout the participating agencies, both in Bangkok and provincial offices.

In addition, Thai women in general will benefit from this project in the various rural areas of Thailand. Thai women are a significant factor in rural development, and perform a combination of roles which contribute, directly and indirectly, to their participation in the social and economic development of the country. While it cannot be argued that women play a leadership role in rural Thai society, it is nevertheless evident that they play an active role and are indeed involved in the economy of their area. In rural areas, women work on farms, raise animals, and otherwise provide food for the family. They also engage in income-generating activities such as handicrafts, food processing, and microbusinesses such as selling food and produce. Studies show: that the status of Thai agricultural women is relatively high, and that they participate in joint decision-making with their husbands concerning financial affairs, land buying or renting, etc; that Thai women have awareness and appreciation of the significance of their agricultural producer role; and that more than three quarters of rural women in Thailand earn incomes for their families. Thus while this project is not aimed directly at women, women will definitely share in

the benefits accruing from increasing the cost efficiency of the RPAP. RPAP projects dealing with nutritional improvement, primary health care, drinking water and sanitation are primarily organized by and for women. Women will also benefit from other projects aimed at improving agricultural productivity and incomes. The success of RPAP and the NRDP will provide access for women to new technologies, services, training, and employment opportunities throughout rural areas of Thailand.

3.3 Administrative and Technical Feasibility

3.3.1 Administrative and Technical Analysis

The National Rural Development Committee (NRDC), chaired by the Prime Minister, was established to provide a planning/control/coordination mechanism for the National Rural Development Program (NRDP). Staff support for the NRDC is provided by the National Rural Development Coordinating Center (NRDCC) established within the National Economic and Social Development Board (NESDB). The NRDCC works with the subcommittees of the NRDC and is responsible for coordinating rural development activities with the planning offices of the four implementing line ministries (Agriculture and Cooperatives, Interior, Education, and Public Health), the Bureau of Budget (BOB), and, for purposes of this project, the Information Processing Institute for Education and Development (IPIED) at Thammasat University (which processes the data for the monitoring and evaluation system). The overall framework and organizational arrangements for the RTG National Rural Development Program are therefore in place.

All project activities to be carried out by the Ministry of Interior (MOI), Ministry of Education (MOE), Ministry of Agriculture and Cooperatives (MOAC), and the Ministry of Public Health (MOPH) in pursuit of RPAP objectives will be coordinated by the NRDCC. The relationships between organizations and responsibilities at each level from the village, township, district, province and national will be

in accordance to the Office of the Prime Minister Regulation on Rural Development Administration of 1981. Procedures and steps for program coordination between ministries both at the ministerial and provincial levels, as well as linkages between the two levels will be established in accordance with the Office of the Prime Minister Regulation on Coordination of Annual Development Plans of the Province and the Ministry. The NRDC administrative structure in Annex L indicates organizational responsibilities.

The Director of the NRDCC, an Assistant Secretary General of NESDB, will serve as RDM/E project director and chair a project working group that has been established. The working group has membership representing all participating agencies and will be the link with the data gathering units in the field. The NRDCC Organizational chart and functional responsibilities are indicated in Annex M.

NESDB, through the NRDCC, has been the driving force behind the conceptualization and development of the RPAP. Through this process, it has recognized and defined the need for M&E systems. Moreover, it has developed, with the assistance of IPIED, the preliminary framework and processes for the implementation and operation of the proposed M&E systems. Thus, NESDB, as the primary implementing agency, has a very real stake in the successful design and implementation of these systems, and in building the institutional capacity for them to be operated by the government at the conclusion of the project. This will act as a powerful incentive for NESDB to dedicate its human resources to the successful completion of the project.

While NESDB will be the lead agency in the RTG for carrying out this project, close coordination will be required with the other agencies. NESDB is well-equipped to assume responsibility for this coordinating function; that is the essence of its role in the preparation of the five-year plans, and in the ongoing planning process. More specifically, the development and operation of the RPAP has required a major degree of coordinating activity and skill. The authority and

responsibility of the NRDC to coordinate the activities of the various agencies in the proposed M&E systems is established in the regulations of the NRDC. That authority will effectively cover all of the responsibilities which must be met under the project, in terms of the new M&E systems. Thus, the framework exists for proper coordination among the participating agencies. The various mechanisms to make the system operational are currently being developed between NESDB and the implementing agencies, and with the province and other local units of government.

As NESDB's request for the assistance of this project implies, the capability for designing, implementing and operating M&E systems of this kind does not presently exist in the agency. The human capital is there in terms of a well-educated staff of planners, economists and people with other relevant backgrounds. At present, however, they lack a clear understanding of the purposes of M&E systems, and the analytical, interpretative and technical skills necessary to perform the activities which are required in the operation of such systems. Therefore, in administering this project, NESDB will have to pay particular attention to the need for selecting and assigning staff who have the capability to develop and use the relatively sophisticated skills that will be necessary in the operation of the system. Staff augmentation provided by this project will include the filling of four professional positions in NRDC and IPIED which have been approved by the Civil Service Commission but which have not yet been activated and budgeted for and possible other positions that will be identified during project implementation. This staff augmentation will focus on building capabilities in program analysis and coordination, system analysis technology, computer applications, statistics and management information system design. The RTG will covenant that these positions will be budgeted for within the third year of the project and continued, thus helping to institutionalize the project. There is also a need for support staff to assist with initial workloads that will eventually be reduced as the efficiency of the monitoring and evaluation system improves and duplicative effort is removed, and to serve as support for the technical assistance team.

The professional staff of the Development Monitoring and Evaluation Section, which currently consists of a chief and six policy and planning analysts and which will be augmented with an additional three positions supported by this project, will carry primary project management responsibility within the NRDCC. This staff will report to and receive guidance from the project director. The staff in NESDB must be at least as good as those in the other agencies with whom they must work, and whose activities in the overall system they must coordinate.

The operation of the M&E system will depend heavily on the data processing capabilities of the IPIED at Thammasat University. The essential computer-hardware capacity for this has been provided by the Japanese Government, including the terminal links to NESDB, BOB and the four ministries. The basic staff complement of 15 professionals for operation of the system is covered under the regular budget of the Institute. This complement will be strengthened with the addition of one systems design person and two long-term advisors, supported by this project. A crucial element of the project will be the availability of appropriate and adequate software, and the staff capability for using the data base for sound analytical work and interpretation of information. Thus, the training of this staff, as provided for under the project, and as may be obtained from other sources, will be essential. It is possible that IPIED data processing capabilities may have to be enhanced by provision of supplemental equipment at their computer center. This decision will be made during project implementation. Necessary funds will be taken from the contingency line item, or through other budget adjustments

As described in Section 2, key parts of the M&E processes will take place in the ministries/departments. In the process of preparing this PP, it was found that significant steps have already been taken in some departments to establish monitoring processes as a part of their regular management systems. Thus, to a degree, the administrative capability is present in this sphere to undertake the building of these processes. This capability, particularly in technical terms, is presently uneven, and more systematic efforts will have to be taken in departments which have not advanced very far. In addition, there is a need for substantial strengthening of the mechanisms and capabilities for ministry-level coordination and oversight of the M&E processes.

3.3.2 Environmental Considerations

As an institution building effort, this project will have no direct impact on the physical environment. A categorical exclusion under Section 22 CFR 216.2(c)(2)(XIV) of AID's environmental regulations has been obtained (See Annex K).

4. FINANCIAL ANALYSIS AND PLAN

4.1 Financial Analysis

The total cost of the project is estimated at \$24.98 million of which AID will fund \$5.0 million and the the RTG \$19.98 million. The project will finance commodities, technical assistance, training, system operation expenses and evaluation costs for central and provincial government entities.

The project will result in some direct increases in recurrent cost financing requirements for the RTG estimated at \$440,000 annually. New staff will have to be hired to perform additional data processing and analysis tasks. Equipment maintenance and operation will add minor

additional expenditures. The RTG ministries will be raising their outlays for M&E as they fully implement activities initiated with the assistance of this project. NRDCC has agreed to assume responsibility for these recurring costs in the third year of the project and thereafter.

Off-setting the increases in recurring costs, there will be savings from rationalization of existing reporting processes and from reductions in man-hours devoted to manual calculations and manual reporting and copying. The net increase in recurring costs should be overshadowed, however, by the savings from these efficiencies in the rural development planning and implementation process resulting from an improved M&E system.

4.2 Financial Plan:

The project includes \$1.34 million for consultant services, \$1.18 of which is for U.S. advisors. Three long-term U.S. advisors are budgeted at \$1.0 million. The remainder of U.S. advisory services will consist of 4-6 months of assistance from an economist/statistician experienced in development of indicators, budgeted at \$40,000, and a variety of short-term subject-specific technical specialists, budgeted at \$90,000. In addition to U.S. advisory assistance, the project provides for both long-term and short-term Thai expertise. The NRDCC is expected to contract for 2-3 Thai experts, budgeted at \$120,000, who will work under the direction and coordination of the senior U.S. advisor. Short-term Thai consultant requirements are budgeted at \$40,000.

The AID budget includes \$1,163,000 of recurring costs for the first two and one half years of the project. The recurring costs include initial operation and maintenance of the equipment bought under the project, costs for the new staff hired for data processing and analysis work and certain other costs. As has been indicated, these costs will be picked up by NRDCC in the third year of the project.

TABLE 1
SUMMARY COST ESTIMATE AND FINANCIAL PLAN
(US \$000)

Baht 23 = 1 US\$

MAJOR PROJECT INPUTS	AID			HOST COUNTRY		TOTAL
	FX	LC	Total	FX	LC	
I. Commodities	475	217	593	-	-	693
II. Operations & Maintenance	-	236	236	-	1,991	2,217
III. Technical Assistance	1,181	159	1,340	-	745	2,085
IV. Evaluation Studies	-	400	400	-	40	440
V. Training	775	372	1,147	-	633	1,735
VI. System Operations	-	927	927	-	16,575	17,503
VII. Mid-Project and Final Evaluation	50	40	100	-	-	100
VIII. Contingencies	100	57	157	-	-	157
<u>TOTAL</u>	2,592	2,408	5,000	-	19,975	24,975

4.3 Taxes, Duties, and other Levies

It is RTG policy to levy taxes and duties on technicians and commodities financed from borrowed money. USAID has pointed out that AID cannot finance such levies. NRDC and the Ministry of Finance have therefore agreed that any such identifiable levies made in connection with goods or services financed by this AID loan shall be considered as an internal RTG matter, that they shall be financed by NRDC and/or otherwise resolved by working with the Ministry of Finance and other pertinent agencies, and that delivery and utilization of such goods and services shall not be impeded nor otherwise interfered with on account of any such levies.

4.4 Planning and Disbursement Procedures:

NRDC, as coordinator of the project, will be responsible for planning, budgeting, disbursing, accounting for and reporting on the status of project funds to AID. NRDC will prepare and submit to USAID/Thailand an annual financial workplan by project element which when approved by AID will earmark project funds. The plan will include all major activities for which AID and RTG funds will be used during the year.

An advance of funds will be requested from the Controller General's Office of the Ministry of Finance through normal RTG budgeting procedures for such amounts as would be necessary to fund ongoing activities.

The RTG will be reimbursed by USAID based on financial statements received from authorized officials in a format approved by USAID. These reimbursements would be for costs incurred under approved financial plans.

In addition to reimbursement, other disbursement procedures which may be used are direct payment to vendors, direct Letters of Commitment to consulting firms and issuance of Project Implementation Documents for Participants.

Planned expenditures are as follows:

Table II
PROJECTION OF EXPENDITURE BY FISCAL YEAR
(\$,000)

	Year 1		Year 2		Year 3		Year 4		Total	
	AID	RTG	AID	RTG	AID	RTG	AID	RTG	AID	RTG
Commodities (including O&M)	743	331	91	485	95	498	-	615	929	1,981
Tech. Asst.	74	83	495	238	495	234	275	190	1,340	745
Studies	50	10	150	10	150	10	50	10	400	40
Training	156	138	451	455	500	20	30	20	1,102	533
System Operation	241	3,957	343	4,062	343	4,201	-	4,355	927	16,576
Evaluation	-	-	50	-	-	-	50	-	100	-
Contingency	30	-	60	-	40	-	27	-	202	-
<u>TOTAL:</u>	1,304	4,569	1,640	5,251	1,624	4,963	432	5,192	5,000	19,975

RTG Contributions:

In accordance with this summary financial plan, the RTG will contribute \$19.98 million to the project. Most of this represents an estimated "in-kind" contribution and less than ten percent an additional budget requirement.

Conclusion:

Costing as shown in the financial plan table are estimates. The project agreement will permit adjustment of line item and agency allocations to assist in effective implementation of the project. An inflation factor has been included in the cost estimates except that no inflation factor has been included in the equipment cost estimates since all such purchases are planned during the first year.

5. IMPLEMENTATION PLAN

5.1. Project Plan

This project is designed to help the RTG (a) bring the NRDP M&E system up to adequacy, in terms of its content and operation, to serve the needs of the NRDCC and the NRDP; and (b) to develop a capability within NRDCC/IPIED, BOB and the operating ministries, to continue further strengthening and refinement of the system over time without external assistance. The project includes technical advisory inputs, training, and equipment needed to help develop the required institutional capacity, and supplementary local cost financing for transitional costs involved in staff expansion, evaluation studies, travel and other operational and maintenance costs, and some pilot experiments in data processing. The scheduling of these inputs is depicted in Annex G.

The focus of the project will be with NRDCC/IPIED, including staff expansion and training, and the greatest amount of long-term advisory assistance (both US and Thai) for conceptual refinement of the monitoring and evaluation system. At this stage, it has been possible to do more detailed thinking for the NRDCC/IPIED portions of the project than for the BOB and ministry portions, which will be more fully developed (in terms of their design, training, equipment and other needs) in the early implementation stages of the project. This is consistent with the deliberately evolutionary approach to the design of the various system components.

Although the long-term advisors will be located at NRDCC/IPIED, and although much attention will be given to the role of the M&E system in management planning and decision-making, the project will also include considerable attention to the field levels, both as sources of the basic raw data required for M&E, and for local officials in implementation and management of programs. That is, a major long-term objective will be to

ensure that the monitoring information is available to the field staff to help them meet their own responsibilities, and that the results of evaluation studies are also made available to them and communicated in a way that will serve their needs.

The first stage of the project--including arrival of consultants and activity planning--is expected to take six months. During this stage, detailed analysis will be undertaken to identify more specific system needs. The advisors will assist in staff development planning, and in overall reassessment of the system design. Special attention will be paid to the relationships among the ministry/department M&E systems. This will include the potential for feeding data to the IPIED data bank the benefits the individual departments will get from having access to the IPIED data bank, and the benefits from integrated orientation and training activities involving all participating agencies. The advisors will also help the ministries and individual departments review their current monitoring systems and evaluation capabilities, identifying any specific strengths or weaknesses therein, and will help the departments, as needed, to draw up a program for bringing their M&E capabilities up to required levels. Such programs will include further short-term consultant assistance in monitoring and evaluation systems and methodologies specific to the technical subject involved, proposals for staff increases if necessary, and the detailed planning of training, equipment, library source materials, etc. By the end of this first stage, NRDCC/IPIED will have developed (together with the advisors) a detailed analysis of perceived needs to strengthen the monitoring and evaluation system, and a life of project work plan based on that analysis which will be submitted to USAID.

The second stage of the project -- activity implementation -- consists of carrying out these individual institution and capacity-building plans. Some may be ready for implementation very early in the life of the project, e.g. at IPIED where a lot of detailed planning has

already been done. Some departments (e.g. in the nutrition division) have already made considerable progress toward developing or installing good monitoring systems and may need only minor assistance from this project. On the monitoring side, as can be seen from the project implementation schedule (Annex G), all the initial activities required to bring staff capability up to strength, to design and initiate improved systems, and to put required equipment in operation, are planned for accomplishment in one year, between mid-1984 and mid-1985. Under this schedule the training required to fully orient field staff in the reporting requirements, and in the uses they can make of the monitoring flow, should dovetail with the start of the planning process for the Sixth Plan period, as far as field staff involvement is concerned. The system would then operate for a year, and be evaluated and revised in time for the start of the Sixth Plan period. The monitoring system will never be frozen into a "final", fixed form, since the mix of problems being addressed, program strategies, and project content, will continue to evolve over time. This will necessitate changes in the things to be monitored and the technical requirements for their monitoring and analysis.

The project will also assist the NRDCC and the ministries to prepare for the regular progress reviews of the RPAP program and of the rural areas benefiting from the program. Three reviews are tentatively shown as scheduled for the first quarter of 1985, 1986 and 1987, in which the RTG and the co-financier agencies (IBRD, JICA, UNDP, USAID) can jointly review progress, coordination and any adjustments that might be needed to improve implementation and impact. The project will also be able to assist the Ministries of Agriculture and Cooperatives and Interior in the preparation for a review, with IBRD, of the cost-effectiveness of production projects being financed with IBRD loan assistance, and of means to sustain the benefits of such projects after completion of project financing.

5.2 Procurement Plan

5.2.1 Technical and Professional Services

About seven person-years of long-term and 16 person-months of short-term expatriate technical assistance is anticipated. Up to six person-years of long-term, plus about 12 person-months of short-term, Thai consultant services are also planned.

The US-originated services will be mobilized through a PASA to be negotiated with the U.S. Bureau of Census (a draft PASA is included as Annex H to this paper). The Bureau is the pre-eminent organization in the world in developing data collection and processing systems, and has had extensive experience in project and program evaluation. In addition, the Bureau has a joint program with George Washington University leading to a masters degree with a specialty track in management information systems, and has had extensive experience in procuring data processing equipment under AID-financed projects. This combination of programs, skills, and experience is unequalled in any other organization, and makes the Bureau the ideal source of services, training, and commodities for the project. However, if we are unable to conclude a PASA with the Bureau, host country contracting will be used for both expatriate and local consultancies. The NRDC would be responsible for such contracting. All local contracts will be negotiated and signed by the NRDC, using RTG/USAID approved procedures.

The long term technical assistance team will be comprised of five persons: a senior advisor (U.S.), two management systems advisors (Thai), an information systems advisor (U.S.), and a computer systems engineer (U.S.). The senior advisor will provide overall coordination and direction for the team; provide advice to the Assistant Secretary General of NESDB on the role of the NESDB/NRDC in coordinating the NRDP/RPAP, particularly with respect to the development, refinement, implementation and use of the M&E system; facilitate linkages between NRDC and participating agencies; and serve as liaison with the

services of other donors (particularly IBRD and UNDP) to the NRDP/RPAP. The two management systems advisors will be contracted by NRDCC. The first is to be located at NRDCC and help the staff of NRDCC to define system design and training requirements; help prepare an analytical framework and procedures for data collection, analysis, and interpretation; help in the design and preparation of reporting procedures and formats; help systematize the information flows between NRDCC and IPIED; and advise on the preparation of an evaluation program, establishment of the evaluation function, and preparation of technical and substantive terms of reference for required evaluations. The second is to serve as a linkage between NRDCC and the ministries/departments in the rationalization and coordinated planning of M&E systems in these participating agencies. The latter is viewed as a critical function necessary to make the M&E processes an integral part of the NRD management system. These Thai consultants will be under the overall coordination and direction of the resident senior advisor.

The information systems advisor will work primarily at IPIED, although he/she will also assist as necessary with the systems design and analysis activities of NRDCC. This person will advise on staffing needs and training programs; advise and assist in overall program and systems development for M&E activities to be performed at IPIED; assist in design and refinement of systems and formats for data collection, processing, interpretation and reporting; assist in designing analytical techniques and processes for special studies and impact evaluations; and serve as a technical advisor linking the IPIED with M&E system users--NRDCC, BOB, ministries/department, etc. The computer systems engineer will also work primarily at IPIED, and will be responsible for supervising system programming for the IPIED's NEC-type computer and solving problems and developing communications interface between and among system hardware and software necessary for network expansion.

The senior advisor is seen as the most critical member of the technical assistance team. As an advisor to senior RIG officials, the person must not only have superb technical qualifications but must also have a familiarity with the Thai bureaucracy in general and the rural development (especially RPAP) program specifically, and be able to relate well and work closely with Thai people. If we are not able to obtain the services of a suitable person under the PASA, we will explore other ways (e.g., JCC or PSC) of obtaining the services of such a senior advisor.

Short term technical assistance from the U.S. will be included under the umbrella of the PASA. The project includes provision for an estimated 16 person-months of short-term US consultant services, depending on the actual requirements for meeting M&E system needs. As described in the Project Plan, short-term subject-specific M&E systems expertise will be specified more precisely in the course of drawing up the departmental strengthening plans.

In addition to the long-term Thai consultants to assist with M&E system design and implementation, the NRDCC will contract with Thai consultants or institutions for performing evaluation studies of project and program impact. The specific nature and content of these studies will be defined as the project gets underway with the advice and assistance of the resident advisors. Some of these studies will be concerned with the evaluation of RPAP projects and their integration into the broader long-term development strategies of the Sixth Plan.

5.2.2 Equipment

The project will provide \$ 693,000 for equipment. The equipment envisaged at this stage, particularly computer equipment, will need to be further examined in detail during the first phase of the implementation stage of the project. Detailed specifications will be developed in consultation with the technical assistance team and Bureau

of Census backstopping specialists. For local procurement, specifications will be prepared by NRDCC with the concurrence of the advisors.

It is clear at this stage that the needs for speed and accuracy in data recording, transmission and analysis, will require a mix of copying machines, calculators, and computing equipment. A small storage capacity will be needed in the field whereas larger capacity will be needed in Bangkok, where data flows will merge (e.g. faster copying machines with collation, for BOB and NRDCC). NRDCC will require two mini-buses to give its staff the mobility it will need for regular interaction with the field. Since AID's Regional Commodity Management Officer has determined that mini-buses with right-hand drive are not available from U.S. manufacturers, the project authorization will include a waiver so that these buses may be procured from Code 935 countries.

For some of the larger provinces with heavy concentrations of RPAP villages, the volume of data collection and transmission has become very considerable. A small computer could enable the province planning authorities to increase the efficiency of their data handling significantly. In a province like Khon Kaen, where the DDMP project has "learning laboratory" districts, and where the Governor is interested in initiating some provincial information and monitoring activities, an experimental sub-project to test the feasibility and usefulness of introducing a micro computer at the provincial level might be worth undertaking. The project will conduct a study of the potential for such an experiment and prepare a recommendation for NRDCC and USAID. Ten micro computer units are tentatively programmed, five for Northeast provinces, three for the North and two for the South. The Northeast ones would be located in the same provinces where the DDMP teams are operating. An early decision will also be made concerning the possible need to augment the computer facility at IPIED.

For each participating agency, the project includes funding for a small library of books, manuals and materials on monitoring and evaluation. Each library would include a core of basic references on methodology and statistical techniques, plus subject-specific references on M&E that would be of special use for each using agency for its own technical areas.

The NRDCC will be responsible for coordinating procurement activities in this project. The NRDCC will utilize the BUCEN team for advice and assistance (especially in developing technical specifications) prior to approving procurement actions. As BUCEN has had extensive relevant experience in procuring data processing and related equipment under AID-financed projects, BUCEN will act as agent for NRDCC to procure all office equipment, computer equipment, and other related materials and equipment that will be purchased outside Thailand. The NRDCC will receive and clear through customs, as appropriate, all offshore purchased project equipment. As has been stated earlier, the NRDCC shall be responsible for all identifiable local taxes or duties assessed under this project.

NRDCC will be responsible for monitoring project expenditures, and for the use of project inputs. It shall act as the central point of accountability for use of funds not covered under the PASA, or which are expended directly by USAID.

It is expected that furniture and equipment requiring on-site maintenance and spare parts availability will be purchased in Thailand. Other equipment will be purchased in the USA or other eligible countries. Computers and computer accessories require concurrence of SER/IRM in AID/W. Source/origin waivers, if required, will be requested from the Director, USAID/Bangkok. Prior to requesting such waivers, however, every effort will be made to obtain the required equipment from eligible sources.

Equipment procured locally will be purchased by the NRDCC, using their own procurement procedures. These procedures are subject to prior review and modifications, as needed, by the Regional Commodity Management Officer (RCMO) of USAID. Procurements from the U.S. (or other Code 941 countries) will be conducted in accordance with Handbook 11 guidelines.

Equipment purchased in Thailand will be delivered to the project site by the suppliers or, if desired, by the NRDCC. Equipment purchased in the U.S. (or other Code 941 countries) will be delivered on the basis of applicable AID regulations, and only to the most convenient port of entry. Payment for all in-country transportation is the responsibility of the NRDCC. Air delivery may be requested by the project manager, as needed. AID marking requirements will apply.

As soon as appropriate, the RTG Project Manager, the AID Project Officer, and BUCEN personnel, with advice of the RCMO, will draw up a purchasing schedule for both local and U.S. purchases.

5.3 Training

Major orientation and training will be required during the period 1984-86 some within Thailand and some overseas. Some of these orientation and training needs can be spelled out and costed at this time. Others must by necessity be specified as more is learned about needs during the course of this project (which, of course, will finance only a portion of the total need). Responsibility for identifying participants to receive training will be with NRDCC. Responsibility for enrolling participants in overseas programs will be included in the PASA with Bureau of the Census. The RTG will be responsible for international travel costs of all persons trained overseas.

Two senior staff members of the NRDCC will undergo a 2-3 month intensive course on M&E in the US. They will subsequently assist in the conduct of a short course in Thailand which would provide basic training in M&E methods for departmental, NRDCC, BOB, etc. staff who will comprise

the M&E "community" of officials in departments with rural development responsibilities. This latter course is tentatively planned as a one-month workshop which would be held twice, involving about 25 RTG officials each session. This in-country program will be designed and conducted (with NRDCC staff assistance as noted) by two US consultants/trainers under the PASA with Bureau of the Census.

More extensive training in statistical methods, systems analysis and program management will be required at the masters degree and diploma level for the core cadre of professionals who will carry the principal technical responsibilities for the M&E operations of their respective agencies and departments. The project includes \$500,000 for 15 to 20 participants who will receive this advanced training in the US, either drawn from presently assigned staff already working in M&E units, or officials who would be posted to such positions upon completion of the training. For NRDCC in particular, the training should prepare senior staff persons with complete command of M&E methodologies and management, knowledge of computer operations, competence in oversight of evaluations, including the management of externally contracted evaluation studies and preparation of terms of reference for evaluation studies. The joint program developed by BUCEN with George Washington University which leads, to a masters degree in information systems is seen as ideal to meet this need.

Local training will be more extensive in terms of numbers of people. Computer training will be needed by all staff responsible for operating the terminals being provided by JICA and for a number of analysts. MOI officials at the province and district levels will need a combination of orientation and training covering their responsibilities for the planning/budgeting documentation and the M&E processes. This will help to ensure that they are able to make maximum use of the flow of such information themselves in the carrying out of their implementation and management responsibilities. Tambon CD officers will need careful preparation for raising the quality of the village status survey exercise. Training will also be needed by field staff of the four ministries in their reporting functions.

The distinction between orientation and training is significant, but is sometimes ignored in RTG training efforts, to their detriment. Orientation should be seen as a relatively general, brief introduction to a subject, designed to show the participants how their role fits in to the broad policies and programs of the RTG for rural development. Orientation should also be seen as the occasion for briefing officials on the policy framework and conveying general instructions on (for example) the next fiscal year's planning and budgeting schedule, forms required, responsibilities assigned, etc.

Training should be seen as a deeper exposure, that must be long enough and prepared with professional training techniques, based on structured curriculum and delivered by carefully prepared staff. It should focus on the skills, duties and activities that will actually be performed by officers and staff in carrying out their parts in the operation of the system. Some of the training under this project should be cross-subject and involve different ministries' personnel. Training of individual departmental field staff in the monitoring requirements of technically specific projects, however, is likely to be more effective if it involves the responsible officials of the particular department only, drawn together from many field locations. While some in-depth training may therefore cover M&E responsibilities alone, broader orientation programs are likely to cover the full planning/budgeting/implementation/monitoring process.

Short-term training in data entry and processing will be needed for NRDCC/IPIED and BOB staff and is available in Bangkok. Orientation and training of field staff will be developed in conjunction with the UNDP project described below, and will be carried out mainly through the services and facilities of the Ministry of Interior and the Civil Service Commission. Details of the training programs for NRDCC and IPIED staff, and for the staff requirements of the other participating agencies, will be developed under the training plans to be prepared in the first stage of the project.

The UN Development Programme will undertake a project to identify additional means to strengthen the management of the rural development program. This UNDP project will analyze the organizational and communication linkages between the village, district, provincial and national levels, and identify the needs for non-technical training at the field level to facilitate more effective planning and implementation interaction than now exists. It may also help structure the linkages of the training requirements of NRDCC - IPIED and the ministries' staff with the field level training described above. The study will employ both expatriate and Thai expertise and will review current training programs related to the rural development management process. The communication skill needs examination will track the transmission process of the same forms and information that comprise the M&E system that is the subject (for their technical content) of this project. Given the complexity of the program relationships that have accrued over time as the RTG has added additional rural development projects, the first phase of the UNDP project, which will map out the organization structure in terms of its management and communication relationships, will be especially useful as an input to the USAID project. The initial UNDP input will amount to about \$800,000.

The scope for the UNDP project has been drafted in close coordination with this USAID project. It is expected that the curriculum development activity of the UNDP project will draw closely on the planning of training programs to be undertaken under this project. It is anticipated that some of the field level orientation and training in the M&E processes will be incorporated in training programs covering the entire planning, budgeting, implementation and monitoring system for the Sixth Plan period as an integrated whole. The planning and budgeting side will benefit from the experience being accumulated now under the USAID funded DDMP project. The training funds under the present project will help finance the overall field training effort, consistent with the coverage over the full range of these processes provided by the combined scope of the UNDP project and the M&E project, since it would be artificial to limit such funding to the M&E segments alone.

5.4 System Operation and Special Studies Assistance

In the early years of setting up a system to monitor field activities, it will be vital for staff, to travel frequently to province and district offices to observe how the system is functioning on the ground and to communicate directly with the field level providers and users of the information. The amount of travel required is likely to exceed the normal RTG budgeting travel provisions (i.e. in terms of transportation and per diem budgets, and vehicle availabilities). For that reason, the project includes vehicles and travel funds for NRDCC and IPIED staff who will be assigned the responsibilities requiring a fair amount of upcountry travel.

In addition, the project includes a provision for \$236,000 to cover transitional costs of equipment operation and maintenance for the first 30 months of the project, and \$927,000 for the hiring of additional local staff for data gathering, processing and analysis, and other miscellaneous costs. Staff hiring will take the form of both contractual and direct RTG hire in NRDCC and IPIED. The RTG has agreed to retain the professional personnel involved. The need to retain these functions, and RTG plans to establish any necessary additional positions, will be one of the subjects to be reviewed at the annual joint RTG/financiers review. Funds will also be available for support staff for the PASA and assisting departments to cover selected development costs of their own evaluation and cost-effectiveness study capabilities, and for conducting an evaluation methodologies workshop bringing together all supervisory technical personnel of NRDCC/IPIED, BOB and the operating ministries.

In-house capacity of NRDCC/IPIED and participating ministries to undertake special evaluation studies will develop gradually over the course of the project. Emphasis will be placed first on developing the professional capability to design and manage evaluation studies done by outside contracts, while in-house staff capability is being developed. NRECC will have an additional continuing role as coordinator for impact

and cost-effectiveness studies, especially in those cases involving more than one project or agency and where there is high level of technical inter-dependence, or close interaction in terms of impact. A sum of \$400,000 is allocated under the project for the financing of evaluation studies undertaken by NRDC/PIED.

5.5 Monitoring Plan

The primary responsibility for managing this project rests with the Director of the NRDC, who is concurrently the Assistant Secretary General of NESDB. It is expected that the NRDC will develop and implement its own plan for monitoring project activities.

While a significant involvement by AID will be necessary in the early phase of mobilizing technical assistance and reaching agreement on a life-of-project work plan, this project has been designed to require only limited direct USAID supervision and oversight of project activities during the later phases of implementation. The project officer will of course have the benefit of the annual review of all aspects of the RPAP, including the system development and program benefits, with the co-financing institutions. Also, there is a scheduled mid-project evaluation of the AID-supported activities in order to assess effectiveness of project inputs and the progress toward achievement of the objectives described in this PP.

To assist the project officer in monitoring this project, USAID will require the timely submission of a series of reports reflecting the status of activities being undertaken by this project. Short, concise but informative monthly progress reports will be required from the long term technical assistance team (and the senior advisor, if the JCC/PCS option is exercised), detailing progress during the reporting period and planned accomplishment for the next period. Semi-annual progress reports will also be required from NRDC addressing such things as staff recruitment, development, and training. An annual financial plan, shall

be required from NRDCC at the beginning of each fiscal year, followed at the end of each year by a report on actions taken pursuant to that plan. In addition, we will receive copies of all evaluations and other special studies done by the NRDCC. It is believed that these reports together with necessary personal involvement, will permit adequate USAID supervision and oversight.

5.6 Evaluation Plan

This project is aimed at strengthening and institutionalizing the rural development monitoring and evaluation system. As such, the project will be aimed at improving the continuing evaluation needs of the RPAP as outlined in previous sections of this PP, including an annual evaluative review of the RPAP involving the RTG and other program financiers. It is also necessary, however, to evaluate this project as an AID project, examining its effectiveness in delivering the required project inputs, bringing about the desired outputs and End of Project Status (EOPS), and achieving the project purpose and goal. This evaluation plan addresses the need for that latter type of AID project evaluation.

Two AID-type evaluations are planned for this project, a midterm evaluation and an end of project impact evaluation. The midterm evaluation will focus on timeliness and effectiveness of project inputs. A three person team is envisaged, including a technical consultant, an AID project/evaluation officer, and an RTG officer. They will review delivery of inputs, implementation progress, advisor roles and effectiveness, training programs, etc., against the schedules and objectives set forth in a life-of-project work plan to be developed by NRDCC and the technical assistance team in the first six months of the project (and which is to be revised and updated during the course of the project). The mid-term evaluation will be timed to coincide with one of the annual evaluative reviews of the RPAP, to take advantage of the lessons learned in that review of the progress of the RPAP as a whole (if possible, one or more of the project evaluation team should participate

in the evaluative review). The team will also review progress being made in hiring needed additional staff and funding the increased recurrent costs. They will then draw conclusions as to the probable effectiveness of the project in achieving the project purpose and goal. The results of this midterm evaluation will be fed back into the project, to assure the best project implementation possible.

The final end of project evaluation will be an impact evaluation. A three person team, with a similar technical composition as the midterm evaluation team, will conduct this impact evaluation. The team will review the role of the AID funded inputs since the midterm evaluation, but the focus of this impact evaluation will be on whether EOPS targets have been met, whether the project purpose can said to have been achieved, and the extent to which the project has contributed to realization of the project goal. The results of this impact evaluation will be provided to the RTG and IBRD for use in additional development or refinement of the RPAP and the NRDP.

One of the initial activities of this project will be the formation of a project evaluation working group. This working group will review the project purpose and proposed project interventions and, using the log frame as a guide, make a final selection of indicators which will measure the results of project assistance. Once the working group has made its selection of indicators (there can be short term or interim indicators as well as long term indicators) the group will establish a plan to determine what indicator data is to be gathered, when it is to be gathered, and who will gather it.

6. CONDITIONS PRECEDENT AND COVENANTS

6.1 Conditions Precedent

In addition to the standard conditions precedent relating to a legal opinion and designated representatives to be included in the project authorization and project agreement, the following condition will also be included:

Prior to disbursements for activities other than technical assistance and training, the borrower shall receive AID approval on the first annual financial workplan submitted by NRDC.

6.2 Covenants

The following covenants will be included in the project authorization and agreement:

1. That the borrower will establish and fill any mutually agreed upon additional personnel positions that are found to be necessary to successfully implement this project.

2. That the borrower will budget for and fund on a continuing basis, beginning in the third year of the Project, recurrent costs of systems operations, including personnel positions which have been agreed upon by the borrower and AID.

THAILAND
RURAL DEVELOPMENT MONITORING AND EVALUATION PROJECT
ANNEXES

AID Project No. 493-0339

U.S. Agency for International Development
Bangkok, Thailand

March, 1984

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SUBJECT: RURAL DEVELOPMENT MONITORING/EVALUATION (493-0339) APAC PID REVIEW

1. SUMMARY: APAC MET 6 OCTOBER AND APPROVED SUBJECT PID FOR PP DEVELOPMENT AND AUTHORIZATION BY USAID/THAILAND. FOLLOWING ISSUES/COMMENTS AND APAC RECOMMENDATIONS PROVIDED FOR MISSION CONSIDERATION/INCLUSION IN PP. END SUMMARY.

A. ISSUE: MANAGEMENT/INSTITUTIONAL DEVELOPMENT -- APAC DISCUSSED ENVIRONMENT IN WHICH PROJECT WILL FUNCTION. MISSION DIRECTOR PARTICIPATED IN DISCUSSION. SINCE PID EXPECTS MONITORING AND EVALUATION SYSTEM (MES) TO BECOME FULLY OPERATIONAL BY RTG BY END OF PROJECT, APAC WAS CONCERNED WITH APPROACH AND TIME-FRAME FOR INSTITUTIONALIZING MES AND LEVEL OF SUSTAINABILITY AFTER AID SUPPORT TERMINATES, PARTICULARLY WITHIN SUCH A BROAD-BASED ENVIRONMENT. APAC STRONGLY RECOMMENDS INCLUSION IN PP A DETAILED INSTITUTIONAL DEVELOPMENT STRATEGY AND ANALYSIS WITH DISCRETE QUALITATIVE AND QUANTITATIVE BENCHMARKS WHICH IDENTIFIES SPECIFIC INSTITUTIONAL DEVELOPMENT PROBLEMS AND

SPELLS OUT HOW PROJECT WILL BRING ABOUT THOSE NECESSARY CHANGES TO RESOLVE THEM. ALONG SAME LINE, PP SHOULD ADDRESS: 1) RURAL DECENTRALIZATION/DEVOLUTION OF MES ACTIVITIES TO RESPECTIVE MINISTRIES. PP SHOULD DEMONSTRATE: 1) HOW IMPLEMENTING MINISTRIES WILL BE INTEGRATED FULLY INTO THE MES; 2) MEANS FOR DEVELOPING AND SUSTAINING RESPECTIVE MINISTRIES' COMMITMENT TO MES; AND 3) HOW MES WILL BENEFIT PROVIDERS AS WELL AS END USERS OF DATA COLLECTION AND ANALYSIS SYSTEM. APAC RECOMMENDS PROJECT DESIGNERS CAREFULLY REVIEW RECENT PAS EVALUATION WHICH HAS SEVERAL IMPORTANT LESSONS FOR INSTITUTIONALIZING THE MES IN THE RURAL POVERTY ALLEVIATION PROGRAM. ONE OF THE MOST IMPORTANT FINDINGS OF THIS EVALUATION WAS THAT THERE HAD BEEN NO EFFORT TO DEVELOP AN INTEGRATING MECHANISM TO IMPROVE (IN THE CASE OF THE PAS PROJECT) MANAGEMENT ACTIVITIES IN ALL INVOLVED MINISTRIES. THEREFORE, APAC RECOMMENDS THAT PROJECT DESIGNERS DEVELOP AN APPROPRIATE MECHANISM TO INTEGRATE THE MES ACROSS THE

- BOARD IN THE RELEVANT AGENCIES (E.G., NESDB, BOR AND THE 4 LINE AGENCIES). A SECOND IMPORTANT FINDING OF THE PAS EVALUATION INVOLVED THE NEED TO OBTAIN ADVANCE COMMITMENTS FROM THE RTG FOR A FULL-TIME COUNTERPART WORKING GROUP.
- IN FACT THE PID MENTIONS LACK OF SUFFICIENT M AND E STAFF THREE TIMES (PP. 5,6 AND 7) AS AN IMPORTANT CONSTRAINT ON CURRENT EFFORTS TO DEVELOP A FULLY FUNCTIONING M AND E SYSTEM. THEREFORE, PROJECT DESIGNERS SHOULD CAREFULLY CONSIDER AND IDENTIFY HOW ADVANCE RTG COMMITMENT OF COUNTERPART STAFF WILL BE OBTAINED.

- APAC ALSO RECOMMENDS THAT THE WORDS "AND INSTITUTIONALIZE" BE ADDED TO THE PROJECT PURPOSE STATEMENT, AFTER THE WORDS "TO ESTABLISH".

- 1) RECURRENT COSTS -- WHILE MINDFUL THAT PROJECT WILL BE LOAN-FUNDED, PROJECT PAPER'S RECURRENT COST ANALYSIS SHOULD ADDRESS THOROUGHLY CONTINUATION AND STAFFING BY RTG OF PROJECT-FUNDED ADVISORY POSITIONS AND CONTINUED MAINTENANCE OF DATA COLLECTION SYSTEMS SUFFICIENTLY SOPHISTICATED TO MEASURE PROGRAM IMPACT ON POVERTY REDUCTION.

- 2) PP DESIGN TEAM -- IN ADDITION TO TWO IDENTIFIED TEAM MEMBERS, APAC ENCOURAGES USAID TO INCLUDE SERVICES OF THAI INFORMATION SYSTEM/EVALUATION METHODOLOGY EXPERT(S) IN DESIGN PROCESS TO SUPPLEMENT THEIR SKILLS.

- 3) ANALYSIS VS. EVALUATION -- THE PID DOES NOT CLEARLY DISTINGUISH DATA COLLECTION AND ANALYSIS FROM

EVALUATION. IN ADDITION TO PROJECT'S EMPHASES ON EVALUATION AND MONITORING TO IMPROVE THE OVERALL RESOURCE ALLOCATION/BUDGETING PROCESS, THE PP SHOULD EXAMINE THE DATA COLLECTION AND ANALYSIS REQUIREMENTS OF INVOLVED RTG MINISTRIES AND ASSUME THAT THE SYSTEM IS "SMART" - I.E. NOT COLLECTING DATA WHICH IS REDUNDANT OR WILL NOT BE ANALYZED. PP SHOULD DEMONSTRATE THAT MES WILL PROVIDE THE TOOLS FOR RESPONSIVE, EDUCATED MANAGERIAL DECISIONS AND CITE ILLUSTRATIVE LISTING OF PRIORITY ISSUES AND-NOT JUST AN IMPROVED DATA COLLECTION/ANALYSIS SYSTEM. THE FINANCIAL PLAN SHOULD ENCOMPASS TECHNICAL TRAINING AND ASSISTANCE NEED BOTH DATA COLLECTION/ANALYSIS AND EVALUATION.

- 4) EVALUATION PLAN -- IN VIEW OF RELATIVE INEXPERIENCE IN THE INTERNATIONAL DONOR COMMUNITY IN DESIGNING AND IMPLEMENTING USEFUL AND RELEVANT M AND E SYSTEMS, AND THE INNOVATIVE NATURE OF THIS PROJECT, APAC ENCOURAGES PP TEAM TO DEVELOP COMPREHENSIVE EVALUATION PLAN WHICH PROVIDES FOR AN EARLY REVIEW/ASSESSMENT (POSSIBLY AFTER 18 MONTHS OF IMPLEMENTATION) OF PROJECT

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DTEC	<input type="checkbox"/>
EMB	<input type="checkbox"/>
Cur	<input checked="" type="checkbox"/>

ACTION TO:

DUE DATE: 7/11/83

ACTION TAKEN:

INITIAL:

UNCLASSIFIED

STATE 305253 1/2

UNCLASSIFIED

STATE 305253 1/2

GH

UNCLAS

STATE 305253 2/2

DIRECTION, ETC. PROJECT DESIGNERS SHOULD ALSO REVIEW MONITORING AND EVALUATION LITERATURE, IN ADDITION TO THE PAS REPORT NOTED ABOVE, AND IDENTIFY THE MAJOR LESSONS LEARNED.

- 5) VEHICLE PROCUREMENT -- THE ONLY U.S. MANUFACTURED RIGHT HAND DRIVE PICK-UP IS THE CJ-8 JEEP WHICH COMES IN A PICK-UP CONFIGURATION. THE CJ-8 PICK-UP HAS A BED 5 FT. LONG AND CAN CARRY ABOUT 1700 LBS. IF LARGER VEHICLE ESSENTIAL, SUGGEST CONSIDER THE CJ-10 WHICH HAS A 7 FT. BED AND CAN CARRY 2800 LBS. THE CJ-10 IS NO LONGER ASSEMBLED IN THE U.S. HOWEVER, IT IS ASSEMBLED IN MEXICO FROM U.S. PARTS. WHILE A 636 I WAIVER WOULD STILL BE NECESSARY TO PROCURE THESE CJ-10'S, HB 1B SECTION 4C20, PROVIDES THAT IF A WAIVER IS NECESSARY, PREFERENCE MUST BE GIVEN TO VEHICLES MANUFACTURED IN A CODE 941 COUNTRY FROM U.S. PARTS.

- 6) INITIAL ENVIRONMENTAL EXAMINATION -- IEE APPROVED. COPY OF SIGNED DOCUMENT POUCHED AND BEING HANDCARRIED BY DEPUTY DIRECTOR.

2. AID/W WILL PROCESS GH UPON RECEIPT. SHULTZ

BT
#5253

NNNN

GH

UNCLAS

STATE 305253 2/2

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Life of Project : 4 years
 Total U.S. Funding: U.S.\$5.0 million
 Date Prepared : November 14, 1983

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTION
<p><u>Program or Sector Goal:</u> <u>The broader objectives to which this project contributes:</u> Increased efficiency and cost effectiveness in the planning and implementation of the National Rural Development Program.</p>	<p><u>Measures of Goal Achievement:</u> 1) Adjustment/modification of RPAP projects either planned or underway; 2) Fewer problems, more successes in project implementation and outputs; 3) Changes in the economic and social well-being of people in poverty districts. 4) Continued and increased support by the IBRD and other external institutions. 5) Revision of RTG policies and institutional arrangements which demonstrate greater coordination and integration of all elements of the overall NRDP.</p>	<p>RTG/NRDC/RPAP Reports. Evaluation reports resulting from the annual co-financing reviews and the mid-course reviews. IBRD Reports.</p>	<p>Assumptions for Achieving Goal Targets: NRDCC and the Ministries/Departments use the improved monitoring and evaluation systems for monitoring project implementation, decision-making in targeting investments, and adjustment of policies and program composition based on evaluation results</p>

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTION
<p><u>Project Purpose:</u></p> <p>To strengthen and institutionalize the monitoring and evaluation system of the National Rural Development Program so that it will provide the reliable and timely information needed by policy makers and field managers to effectively manage and implement the RTG's Rural Poverty Alleviation Program.</p>	<p>Conditions that will indicate the Achievement of this purpose:</p> <p>1) IPIED and NRDC's M&E unit will have the capacity to a) coordinate ministerial, NRDC and field level M&E functions; b) provide technical assistance to strengthen and rationalize ministerial M&E functions; and c) carry out its assigned responsibilities for general monitoring and evaluation of rural development programs.</p> <p>2) The NRDC, and the ministries and implementing departments will be using the information and reports flowing from the M&E systems in the planning and decision-making processes of the RPAP.</p> <p>3) A reliable data base on conditions in the poverty districts of RPAP, and on the programs and projects designed to alleviate those conditions will exist.</p> <p>4. The NRDC, with technical assistance from IPIED, will be able to carry out the analytical processes necessary to evaluate the effects and impacts of the RPAP, its sub-programs and projects.</p> <p>5) The roles and responsibilities of the several agencies in the NRDP programs, especially as they relate to the RPAP, will be clarified and in places.</p>	<p>1) Reports of NRDC TO NRDC.</p> <p>2) Analytical outputs from IPIED.</p> <p>3) Evaluation study reports results.</p> <p>4) Changwat Annual Operational Plans.</p> <p>5) Reports to the FECSC.</p> <p>6) Regulations of NRDC on policies and responsibilities.</p> <p>7) Staffing patterns in ministry planning offices.</p> <p>8) Analyses of reporting patterns from field levels.</p> <p>9) Reports from Ministry RPAP coordinators.</p>	<p>1) That an improved and strengthened MES can be implemented in spite of the constraints of existing horizontal and vertical bureaucratic organizational arrangements.</p> <p>2) That the RTG organizational entities, particularly NESDB, BOB, and the four rural development ministries, will select and assign staff with the potential to further develop and operate the M&E systems implemented through the project.</p> <p>3) That a high priority will continue to be given to the continued refinement, operation and use of the M&E systems.</p> <p>4) That steps will be taken to implement the more clearly defined roles and responsibilities.</p> <p>5) That the RTG will move toward the devolution of responsibilities necessary to make effective use of M&E systems at field levels.</p> <p>6) That management entities will come to see M&E systems as one of their tools for better planning and decision-making.</p>

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTION
	6) The ministries will have increased capability to coordinate program planning, project implementation monitoring and impact evaluation.		
	7) IPIED will have the necessary data processing capability and analytic capacity to record and process the flow of M&E data, and the skills to continue to refine the systems design for production of the required analyses and management information to be used by NRDC and the line agencies.		
	8) The provinces and districts will be reporting more timely and accurate M&E data, and reports will flow back to these units for field-level monitoring and evaluation purposes.		
	9) The monitoring systems of the ministries/departments will be more rationalized and coordinated within the overall M&E system.		

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTION
<u>Outputs:</u>	<u>Magnitude of Outputs:</u>		
1. Data Collection and Flow Systematized	All forms and procedures reviewed and refined. Some revised; some eliminated. Reporting frequency reexamined; collection procedures standardized. Duplication minimized; compatibility enhanced.	Reports of NESDB/IPIED, BOB, NRDC, FECSC, changwat annual operations plans. Staffing reports, Education/ Training program evaluation reports. Feedback from beneficiaries, local officials, contractors.	Expatriate and domestic consultants are available and obtainable. Technical assistance/commodities in place according to schedule. Capable RTG staff selected and assigned to M&E units. Cooperation of all involved agencies and organizations.
2. Monitoring and Evaluation Measurements Refined and Implemented in the MES.	Activity milestones/bench marks reviewed and revised. Performance indicators (output measures) defined, evaluated, revised.		
3. Data Analysis and Interpretation Steps Implemented.	IPIED to produce reports of data outputs and make preliminary interpretations. NRDC and other users to analyze results and prepare reports. Reports of changwat activity to flow to that level for comparison of results with plans.		
4. RPAP Project Effect Assessments Undertaken	Ministries/departments complete analyses of project effect evaluation. Matched against broader evaluations of sub-program and project results done by IPIED/BOB.		

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTION
5. Evaluation Studies Implemented	Impact evaluations based on analysis of performance indicators, supplemented by in-depth surveys and analysis of non-program economic information. Cross referencing of impacts from related projects evaluated. Evaluations of the systems are studied. The management process is analyzed. Village impact measurement criteria refined and simplified.		
6. Institution - building steps completed	Terms of reference and roles of participating agencies reviewed and revised and where necessary, formally assigned (NRDCC, IPIED, BOB, FECS, ministries/departments, local units).		

PROJECT DESIGN SUMMARY - LOGICAL FRAMEWORK (ANNEX B)

Project Title and Number: Rural Development Monitoring/Evaluation (493-0339)

Baht 23 = 1 US\$

MAJOR PROJECT INPUTS (\$000)	AID	RTG	TOTAL
I. Commodities	693	-	693
II. Operations and Maintenance	236	1,981	2,217
III. Technical Assistance	1,340	745	2,085
IV. Evaluation Studies	400	40	440
V. Training	1,147	633	1,780
VI. System Operations	927	16,576	17,503
VII. Mid-Project and Final Evaluation	100	-	100
VIII. Contingency	<u>157</u>	<u>-</u>	<u>157</u>
<u>Total:</u>	<u>5,000</u> =====	<u>19,975</u> =====	<u>24,975</u> =====

USAID and RTG records
and reportsRequired funding available on
a timely basis, as well asflexibility in procurement of
technical services and commodities.

Checklist of Statutory Criteria

PROJECT CHECKLIST

A. GENERAL CRITERIA FOR PROJECT

1. Fy 1982 Appropriation Act Sec. 523; FAA Sec. 634A; Sec. 653 (b)

(a) Describe how authorizing and appropriations committees of Senate and House have been or will be notified concerning the project; (b) is assistance within (Operational Year Budget) country or international organization allocation reported to Congress (or not more than \$1 million over that amount)?

Congressional Notification will be made before authorization. Assistance is within OY8.
 2. FAA Sec. 611(a)(1). Prior to obligation in excess of \$100.00, will there be:

(a) engineering, financial or other plans necessary to carry out the assistance and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?

Yes. See Project Paper pages 34-52
 3. FAA Sec. 611(a)(2). If further legislative action is required within recipient country, what is basis for reasonable expectation that such action will be completed in time to permit orderly accomplishment of purpose of the assistance?

No further legislative action required.
 4. FAA Sec. 611(b); FY1982 Appropriation Act Sec. 501. If for water or water-related land resource construction has project met the standards and criteria as set forth in the principles and Standards for planning Water and Related Land Resources, dated October 25, 1973? (See AID Handbook 3 for new guidelines.)
- N/A

PROJECT CHECKLIST

ANNEX C (P. 2)

5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and all this assistance for it will exceed \$1 million, has Mission Director certified and regional Assistant Administrator taken into consideration the country's capability receive to maintain and utilize the project? N/A
6. FAA Sec. 209. Is project susceptible to execution as part of regional or multilateral project? If so, why is project not so executed? Information and conclusion whether assistance will encourage regional development programs. No
7. FAA Sec. 601(a). Information and conclusions whether project will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; and (c) encourage development and use of cooperatives, and credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions. This project is not directly addressed at any of these efforts, but should not impede them either.
3. FAA Sec. 601 (b). Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs including use of private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise) The project will facilitate RTG investment in rural development in Thailand and may therefore indirectly encourage U.S. private trade and investment. It is planned that project procurement will be from the U.S. except when or unless suppliers there cannot supply items needed.

PROJECT CHECKLIST

ANNEX C (P. 3)

9. FAA Sec. 512(b), 635(h); FY 1982 Appropriation Act Sec. 507.
Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars.
- The RTG is contributing eighty percent of the cost of this project. No procurement is planned in countries for which the U.S. owns excess currencies.
10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?
- There are no U.S. owned Thai currency available for this project.
11. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?
- Yes
12. FY1982 Appropriation Act Sec.521. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity?
- N/A
13. FAA 118(c) and (d). Does the project comply with the environmental procedures set forth in AID Regulation 16? Does the project or program take into consideration the problem of the destruction of tropical forests?
- A categorical exclusion under section 22 CFR 216.2(c)(2)(XIV) has been received.
14. FAA 121 (d). If a Sahel project, has a determination been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of project funds (dollars or local currency generated therefrom)?
- N/A

B. FUNDING CRITERIA FOR PROJECT.

1. Development Assistance Project Criteria

a. FAA Sec. 102(b), 111, 113, 281(a). Extent to which activities will (a) effectively involve the poor in development, by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits development on a sustained basis, using the appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries?

Project will significantly improve the ability of the RTG to implement its rural poverty alleviation project, which includes planning and implementation of programs and projects at the local level.

b. FAA Sec. 103, 103A, 104, 105, 106. Does the project fit the criteria for the type of funds (functional account) being used?

Yes

c. FAA Sec. 107. Is emphasis on use of appropriate technology (relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?

The rural poverty alleviation program, which this project supports, uses appropriate technology in planning and implementing the program.

- d. FAA Sec. 110(a). Will the recipient country provide at least 25% of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or is the letter cost-sharing requirement being waived for a "relatively least developed" country)? Yes
- e. FAA Sec. 110(b). Will grant capital assistance be disbursed for project over more than 3 years? If so, has justification satisfactory to Congress been made, and efforts for other financing, or is the recipient country "relatively least developed"? (M.O. 1232.1 defined a capital project as "the construction, expansion, equipping or alteration of a physical facility or facilities financed by AID dollar assistance of not less than \$100,000, including related advisory, managerial and training services, and not undertaken as part of a project of a predominantly technical assistance character. No
- f. FAA Sec. 122(b). Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase of productive capacities and self-sustaining economic growth? Yes. See pages 5-9 of the PP.
- g. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in education and training in skills required for effective participation in governmental processes essential to self-government. The project directly supports the RTG's rural poverty alleviation program, which in turn is a Thai-conceived national program focused at the local level designed to promote rural development and better integration of rural people into the national economy.

2. Development Assistance Project
Criteria (Loans Only)

a. FAA Sec. 122(b). Information and conclusion on capacity of the country to repay the loan, at a reasonable rate of interest.

Analysis conducted for and included in the CDSS indicates that the RTG is committed to responsible, relatively conservative, fiscal and monetary policies. Foreign debt is not a currently a problem of major proportion for the RTG, and thus we believe payment prospects are excellent.

b. FAA Sec. 620(d). If assistance is for any productive enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20% of the enterprise's annual production during the life of the loan?

N/A

c. ISDCA OF 1981, Sec. 724(c) and (d). If for Nicaragua, does the loan agreement require that the funds be used to the maximum extent possible for the private sector? Does the project provide for monitoring under FAA Sec. 624 (g)?

N/A

3. Economic Support Fund Project
Criteria.

N/A

PROJECTION OF EXPENDITURES BY FISCAL YEAR
(US\$000)

FISCAL YEAR	MAJOR INPUTS	AID			HOST COUNTRY		TOTAL
		FX	LC	Total	FX	LC	
<u>FY 1984</u>							
I.	<u>Commodities</u>	476	267	743	-	381	1,124
	- Provinces:	305	55	360	-	31	351
	- Copying Machines	200	-	200	-	-	
	- O&M	-	28	28	-	-	
	- Calculators	15	-	15	-	-	
	- O&M	-	1	1	-	-	
	- File Cabinets	-	13	13	-	-	
	- Furniture	-	10	10	-	-	
	- Micro Computer & Printer	90	-	90	-	-	
	- O&M	-	3	3	-	-	
	- Districts:	35	153	189	-	10	199
	- Calculators	35	-	35	-	-	
	- O&M	-	2	2	-	-	
	- File Cabinets	-	80	80	-	-	
	- Furniture	-	71	71	-	-	
	- NRDCC:	73	47	120	-	20	122
	- Word Processor	20	-	20	-	-	
	- O&M	-	1	1	-	-	
	- Computer Terminal	-	8	8	-	-	
	- Mini-buses	-	33	33	-	-	
	- O&M	-	2	2	-	-	
	- Misc. Office Equipment	53	-	53	-	-	
	- O&M	-	3	3	-	-	
	- Bureau of the Budget:	15	-	15	-	10	25
	- Copying Machine with collating capacity	15	-	15	-	-	
	- IPIED:	47	2	49	-	310	359
	- Graphic Map Plotter	47	-	47	-	-	
	- Computer Maintenance	-	2	2	-	-	
	- All Units:	-	10	10	-	-	10
	- Books & technical literature	-	10	10	-	-	
II.	<u>Technical Assistance:</u>	65	9	74	-	83	157
	- Expatriate	65	-	65	-	-	
	- Local -	-	9	9	-	-	
III.	<u>Evaluation Studies</u>	-	50	50	-	10	60
IV.	<u>Training:</u>	65	101	166	-	138	304
	- U.S.	65	1	66	-	-	
	- Local -	-	100	100	-	-	

Projection of Expenditures by Fiscal Year (ANNEX E - Cont'd)

(US\$000)

FISCAL YEAR	MAJOR INPUTS	AID			HOST COUNTRY		TOTAL
		FX	LC	Total	FX	LC	
V.	<u>System Operations:</u>	-	241	241	-	3,957	4,198
	- Data Collection	-	56	56	-		
	- Data Processing	-	66	66	-		
	- Project Staff Augmentation	-	40	40	-		
	- Regional Meetings and Workshops	-	59	59	-		
VI.	<u>Mid-project & Final Evaluation:</u>	-	-	-	-	-	-
	<u>Contingencies</u>	20	10	30	-	-	30
	<u>TOTAL</u>	626	678	1,304	-	4,569	5,873

PROJECTION OF EXPENDITURES BY FISCAL YEAR
(US\$000)

FISCAL YEAR	MAJOR INPUTS	AID			HOST COUNTRY		TOTAL
		FX	LC	Total	FX	LC	
<u>FY 1985</u>							
I.	<u>Commodities (O&M):</u>	-	91	91	-	485	577
	- <u>Provinces:</u>	-	54	54	-	34	98
	- Copying Machines	-	57	57	-	-	-
	- Calculators	-	1	1	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- Micro Computer & Printer	-	6	6	-	-	-
	- <u>Districts:</u>	-	3	3	-	10	13
	- Calculators	-	3	3	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- <u>NRDCC:</u>	-	20	20	-	20	40
	- Word Processor	-	2	2	-	-	-
	- Computer Terminal	-	8	8	-	-	-
	- Mini-buses	-	5	5	-	-	-
	- Misc. Office Equipment	-	5	5	-	-	-
	- <u>Bureau of the Budget:</u>	-	-	-	-	10	10
	- Copying Machine with collating capacity	-	-	-	-	-	-
	- <u>IPIED:</u>	-	4	4	-	412	416
	- Graphic Map Plotter	-	4	4	-	-	-
	- Computer and Maintenance	-	-	-	-	-	-
	- <u>All Units:</u>	-	-	-	-	-	-
	- Books and technical literature	-	-	-	-	-	-
II.	<u>Technical Assistance:</u>	445	50	495	-	238	733
	- Expatriate	445	-	445	-	-	-
	- Local	-	50	50	-	-	-
III.	<u>Evaluation Studies</u>	-	150	150	-	10	160
IV.	<u>Training:</u>	280	171	451	-	455	906
	- U.S.	280	-	280	-	-	-
	- Local	-	170	170	-	-	-
V.	<u>System Operations:</u>	-	343	343	-	4,052	4,405
	- Data Collection	-	133	133	-	-	-
	- Data Processing	-	100	100	-	-	-
	- Project Staff Augmentation	-	40	40	-	-	-
	- Regional Meetings & Workshops	-	70	70	-	-	-
VI.	<u>Mid-project & Final Evaluation:</u>	30	20	50	-	-	50
	<u>Contingencies</u>	40	20	60	-	-	60
	<u>TOTAL</u>	795	845	1,640	-	5,251	6,891

PROJECTION OF EXPENDITURES BY FISCAL YEAR
(US\$000)

FISCAL YEAR	MAJCR INPUTS	AID			HOST COUNTRY		TOTAL
		FX	LC	Total	FX	LC	
<u>FY 1986</u>							
I.	<u>Commodities (O&M):</u>	-	95	95	-	498	593
	- Provinces:	-	65	65	-	20	85
	- Copying Machines	-	57	57	-	-	-
	- Calculators	-	2	2	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- Micro Computer & Printer	-	5	6	-	-	-
	- Districts:	-	4	4	-	10	14
	- Calculators	-	4	4	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- NRDCC:	-	21	21	-	20	41
	- Word Processor	-	2	2	-	-	-
	- Computer Terminal	-	9	9	-	-	-
	- Mini-buses	-	5	5	-	-	-
	- Misc. Office Equipment	-	5	5	-	-	-
	- Bureau of the Budget:	-	-	-	-	18	18
	- Copying Machine with collating capacity	-	-	-	-	-	-
	- IPIED:	-	5	5	-	430	435
	- Graphic Map Plotter	-	5	5	-	-	-
	- Computer and Maintenance	-	-	-	-	-	-
	- All Units:	-	-	-	-	-	-
	- Books and technical literature	-	-	-	-	-	-
II.	<u>Technical Assistance:</u>	446	50	496	-	234	730
	- Expatriate	446	-	446	-	-	-
	- Local	-	50	50	-	-	-
III.	<u>Evaluation Studies</u>	-	150	150	-	10	160
IV.	<u>Training:</u>	400	100	500	-	20	520
	- U.S.	400	-	400	-	-	-
	- Local	-	100	100	-	-	-
V.	<u>System Operations:</u>	-	343	343	-	4,201	4,544
	- Data Collection	-	133	133	-	-	-
	- Data Processing	-	100	100	-	-	-
	- Project Staff Augmentation	-	40	40	-	-	-
	- Regional Meetings & Workshops	-	70	70	-	-	-
VI.	<u>Mid-project & Final Evaluation:</u>	-	-	-	-	-	-
	<u>Contingencies</u>	20	20	40	-	-	40
	<u>TOTAL</u>	866	758	1,624	-	4,963	6,587

PROJECTION OF EXPENDITURES BY FISCAL YEAR
(US\$000)

FISCAL YEAR	MAJOR INPUTS	AID			HOST COUNTRY		TOTAL
		FX	LC	Total	FX	LC	
<u>FY 1987</u>							
I.	<u>Commodities (O&M):</u>	-	-	-	-	616	516
	- Provinces:	-	-	-	-	80	80
	- Copying Machines	-	-	-	-	-	-
	- Calculators	-	-	-	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- Micro Computer & Printer	-	-	-	-	-	-
	- Districts:	-	-	-	-	16	16
	- Calculators	-	-	-	-	-	-
	- File Cabinets	-	-	-	-	-	-
	- Furniture	-	-	-	-	-	-
	- NRDCC:	-	-	-	-	20	20
	- Word Processor	-	-	-	-	-	-
	- Computer Terminal	-	-	-	-	-	-
	- Mini-buses	-	-	-	-	-	-
	- Misc. Office Equipment	-	-	-	-	-	-
	- Bureau of the Budget:	-	-	-	-	20	20
	- Copying Machine with collating capacity	-	-	-	-	-	-
	- IPIED:	-	-	-	-	480	480
	- Graphic Map Plotter	-	-	-	-	-	-
	- Computer and Maintenance	-	-	-	-	-	-
	- All Units:	-	-	-	-	-	-
	- Books & technical literature	-	-	-	-	-	-
II.	<u>Technical Assistance:</u>	225	50	275	-	190	465
	- Expatriate	225	-	225	-	-	-
	- Local	-	50	50	-	-	-
III.	<u>Evaluation Studies</u>	-	50	50	-	10	60
IV.	<u>Training:</u>	30	-	30	-	20	50
	- U.S.	30	-	30	-	-	-
	- Local	-	-	-	-	-	-
V.	<u>System Operations:</u>	-	-	-	-	4,356	4,356
	- Data Collection	-	-	-	-	-	-
	- Data Processing	-	-	-	-	-	-
	- Project Staff Augmentation	-	-	-	-	-	-
	- Regional Meetings & Workshops	-	-	-	-	-	-
VI.	<u>Mid-project & Final Evaluation:</u>	30	20	50	-	-	50
	<u>Contingencies</u>	20	7	27	-	-	27
	<u>TOTAL</u>	305	127	432	-	5,192	5,624

System Operations
Annual Distribution (Baht)

ANNEX F-4

	1984	1985	1986	Baht Total (000)	Total \$ Equivalent (000)
System Improvement and Implementation					
1. Data Collection					
a) Project Effect					
- Temporary Assistants, 3300 Tambon @ Baht 200, 1 time/yr.	230,000	460,000	460,000	1,150	
- Travel cost, 13,000 villages @ Baht 50, 1 time/yr.	325,000	650,000	650,000	1,625	
b) Project Impact					
- Temporary Assistants, 13,000 villages @ Baht 50, 1 time/yr.	325,000	650,000	650,000	1,625	
- Travel cost, 13,000 villages @ Baht 50, 1 time/yr.	325,000	650,000	650,000	1,625	
c) Meeting Expenses for Supervising Government Officials					
- Province, 38 x 4 per year x 5 officials x Baht 100	38,000	76,000	76,000	190	
- District, 286 x 4 per year x 5 officials x Baht 100	286,000	572,000	572,000	1,430	
				<u>7,645</u>	332
2. Data Processing					
a) Project Performance) from RTG	30,000	60,000	60,000	150	
b) Project Effects)	85,000	170,000	170,000	425	
c) Project Impact) proposal	1,403,000	2,070,000	2,070,000	5,543	
				<u>5,118</u>	256
3. Project Staff Augmentation					
IPIED:					
1 Specialist @ Baht 15,000/mo.	180,000	180,000	180,000	540	
NRDCC:					
3 Specialists @ Baht 15,000/mo. for data analysis and interpretation	540,000	540,000	540,000	1,620	
3 Persons @ Baht 5,555/mo. for technical support (Sec. Assistance)	200,000	200,000	200,000	600	
				<u>2,760</u>	120
4. Regional Workshops, Travel and Per Diem					
	1,600,000	1,600,000	1,600,000	4,800	209
				<u>Total</u>	<u>927</u>

Estimated Commodity Requirements
(including initial O&M)

ANNEX F

Equipment	Unit	\$ Price	Total	Operation and Maintenance 1984-86 (2 1/2 yrs.)	
I. Provinces					
Copying Machines	38	5,263	200,000	@28%/yr.	142,000
Hand calculators, ..., programable	5x38	75	15,000	@10%/yr.	4,000
File cabinets	5x38	70	13,000	-	-
Table, 8 chairs	38	250	10,000	-	-
Micro Computer and printer	10	9,000	90,000	@ 6%/yr.	15,000
			<u>328,000</u>		<u>151,000</u>
II. Districts					
Hand calculators	5x286	25	36,000	@10%/yr.	9,000
File cabinets	4x286	70	80,000	-	-
Table, 8 chairs	286	250	71,000	-	-
	-		<u>187,000</u>	-	<u>9,000</u>
III NRDCC					
Word-processor (Thai-English (3 terminals)	1	20,000	20,000	10%/yr.	5,000
Computer Terminal	-	[JICA]	-0-		25,000
Mini-buses	2	16,500	33,000	15%/yr.	12,000
Misc. office equipment	-	-	53,000	10%/yr.	13,000
			<u>106,000</u>		<u>55,000</u>
IV. BOB					
Copying Machine with collating capacity	1	15,000	<u>15,000</u>	-	-
V. IPIED					
Graphic Map Plotter	1	47,000	<u>47,000</u>	@10%/yr.	<u>11,000</u>
Computer maintenance, etc.	-	-	-	-	-
VII. All Units					
Books and technical literature	-	-	<u>10,000</u>	-	-
TOTALS:	-	-	<u>693,000</u> =====	-	<u>236,000</u> =====

PASA between Bureau of Census and AID to support the
Rural Development Monitoring/Evaluation Project, USAID/Thailand

1. Background

The purpose of this PASA is to provide and/or manage support services for the Rural Development Monitoring and Evaluation Project that have their origin in the U.S. This four-year project will provide technical assistance, training of government officials, equipment and operational support to develop and strengthen monitoring and evaluation systems in the Royal Thai Government's National Rural Development Program (NRDP) with an initial focus on the Rural Poverty Alleviation Program (RPAP). The project will assist the National Rural Development Coordinating Center (NRDCC) in developing the institutional capability in its planned monitoring and evaluation unit to coordinate ministerial/department and field level M&E functions; provide technical assistance to strengthen and rationalize M&E functions, and carry out its assigned responsibilities for general monitoring and evaluation of rural development programs.

The primary focus of the project will be in the NRDCC and the Information Processing Institute at Thammasat University, (IPIED) which will be the main institution building targets. Nevertheless, the project will devote considerable attention to the development of M&E capabilities and systems in the RTG ministries/departments, and to the needs and roles of the field level staff who are directly responsible for the sub-project implementation and collection of primary data.

2. Statement of Work

The Bureau of the Census (BUCEN) will provide support for implementation of this project in four major areas: technical assistance provided by a team of resident advisors; short-term technical assistance; training, both long and short-term; and commodities acquisition.

a) Resident Advisors

The team of three resident advisors that will provide seven person-years of long-term technical assistance will consist of: a senior advisor (who will serve as Chief of Party), an information systems advisor, and a computer systems engineer.

The senior advisor (Chief of Party) will have a tour of duty of 3 1/2 years. He/she will provide overall coordination and direction for the team which will include up to three long-term Thai consultants in addition to BUCEN personnel. In addition, he/she will provide advice to the Assistant Secretary General of the NESDB on the role of the NESDB/NRDCC in coordinating the NRDP/RPAP with respect to the development, refinement, implementation and use of the M&E system. He/she also will facilitate linkage between the NRDCC and other participating agencies and will serve as liaison with other donors.

The information systems advisor will have a tour of duty of 2 years. He/she will work primarily at IPIED and will advise on staffing needs and training programs as well as advise and assist in overall program and systems development for M&E activities. He/she also will assist in the design of systems and formats for data collection, processing, interpretation and reporting, as well as on the linkage of these activities with both NRDCC and the participating ministries. In addition, this advisor will assist in designing analytical techniques and processes for special studies and will serve as a technical advisor linking NRDCC and IPIED with M&E system users.

The computer systems engineer will have a tour of duty of 1 1/2 years and will work primarily at IPIED. He/she will be responsible for system programming for IPIED's NEC computer and will also solve problems and develop communications interface between and among system hardware and software necessary for network expansion.

In addition, all resident advisors will assist the NRDCC and IPIED in conducting training and workshops to be defined as the project is implemented.

All resident advisors will agree to serve for the entire tour of duty for the position for which they are recruited.

USAID/Bangkok and the NRDCC will provide concurrence of final position descriptions and selection of resident advisors.

The USAID Mission has agreed to lease and furnish housing for resident advisors and will handle all financial arrangements related to housing. In addition, the Mission has agreed to handle financial arrangements related to education costs for dependent children. All associated costs are chargeable to this PASA.

The resident advisors will have access to APO and commissary privileges as provided to the AID Mission.

A secretary and program assistant, to be provided for under the project, will be made available to the resident team by the RTG.

b) Short-term Technical Assistance

BUCEN will provide 11 person-months of short-term technical assistance during the life of the project. The specific kinds of technical assistance will be identified by the resident advisors, NRDCC, and IPIED as the project is implemented.

c) Training

BUCEN will arrange for or carry out the following training activities:

- (1) 15-20 participants will be enrolled in long-term training, either in the BUCEN/ISPC Combined Degree Program with George Washington University (Master's degree in Management Information Systems) or the ISPC long-term diploma program (no master's degrees) or other U.S. based training as appropriate.
- (2) 2-3 senior NRDCC staff will participate in a 2-3 month program in the U.S. focusing on monitoring and evaluation principles and management training.
- (3) BUCEN will conduct two monitoring and evaluation workshops in Thailand, assisted by NRDCC staff who have attended the training described in (2) above. These workshops will be 1 month long, with approximately 25 participants in each.

d) Commodities

BUCEN will act as agent for NRDCC and USAID/Bangkok to procure all office equipment, computer equipment and other related materials and equipment that will be purchased outside of Thailand. This includes such items as copying machines, hand calculators (programmable and non-programmable), word processors, microcomputers and printers, graphic map plotter, tape recorder, slide projector, air conditioners and other miscellaneous items.

If necessary, source/origin waivers will be obtained by the Director, USAID/Bangkok. BUCEN will obtain all necessary approvals from SER/IRM for all computer and computer accessory procurements.

All equipment that requires maintenance will be purchased from manufacturers who have representatives or authorized agents in Thailand so that equipment maintenance can be facilitated.

Equipment purchased in the U.S. (or other Code 941 countries) will be delivered on the basis of U.S. government regulations and only to the most convenient port of entry. BUCEN will not be responsible for in-country transportation of equipment or for payment of customs duties or other taxes and fees imposed by the Thai Government. Air delivery may be requested by the project manager, as needed. AID marking requirements will apply.

3. Organizational Relationships

Three sets of organizational relationships are involved in the execution of this PASA, insofar as the resident advisor team is concerned: first, the context of the team's role in the RTG; second, the administrative context of the team as part of the PASA between USAID/Bangkok and BUCEN; third, the relationship of the team to the USAID Mission.

The senior advisor is the chief of party for the resident team. The resident advisors, through the chief of party, are responsible to the Director of the NRDCC, who is an Assistant Secretary General of NESDB. Overall RTG policy direction for the team's work will be given by the Director, channeled through the chief of party since the team's scope of work covers assistance to other RTG agencies. Therefore, as advisors to NESDB, the team will assist the NRDCC in its coordinating responsibilities under the rural development program, particularly with respect to the development of information systems which serve the monitoring and evaluation process. This coordination assistance will be concerned primarily with the IPIED, the major support unit for NESDB in data collection and information processing, and with the RTG ministries and their component departments which are implementing units for the RPAP, namely the Ministries of Agriculture and Cooperatives, Public Health, Education and Interior.

The primary purpose of this PASA is to mobilize the off-shore technical assistance components of the project. With respect to the resident advisors, this includes the provision by BUCEN of administrative support activities such as salary and benefit payments, travel and transportation arrangements, communication with other related and other communication requirements, and financial monitoring of the PASA budget. BUCEN will also gather and provide resource materials which may be needed by the resident advisors in providing assistance to the RTG.

One purpose of the PASA is to minimize the demand on the Mission for direct supervision of the project. To facilitate his/her project monitoring responsibilities, the responsible AID project officer will receive copies of activity reports prepared by the resident advisor team, and of work products documenting the studies, proposals and recommendations made to the NRDCC. In addition, the project officer will participate in the annual review by all co-financing institutions of all aspects of RPAP, including the systems development and program benefits. In addition, AID will support a mid-project evaluation of project activities as a means of assessing the effectiveness of project inputs and the progress toward achievement of project objectives.

The AID Mission will provide or cause to be provided all logistical support for the resident advisors and their families. This will include financing and arrangements for housing, education, in-country work-related travel, APO and commissary privileges. All such costs are chargeable to the PASA. The RTG will provide office and vehicular support.

ANNEX H

4. Reports Required

The following reports will be prepared during the life of this project:

- (a) The Chief of Party will prepare a short, concise, but informative monthly report on all resident advisor activities for the Chief, Resident Programs Branch, BUCEN/ISPC and the USAID Project Officer.
- (b) Trip reports will be prepared following each short-term technical assistance visit and in-country workshop. Copies will be sent to USAID/Bangkok and the resident advisor team.
- (c) Quarterly reports, summarizing activities and financial status, will be prepared by BUCEN/ISPC/Washington and sent to the Director, USAID/Bangkok. On the basis of these reports, quarterly USAID Mission reviews will be conducted.

5. Summary Financial Plan

Technical Assistance

Resident Advisors	\$1,042,775 ^{1/}
Short-term assistance	<u>117,275</u>
TOTAL:	\$1,150,050

Training

Long-term, U.S. based	\$537,500
Short-term, U.S. based	28,500
In-country workshops	<u>110,015</u>
TOTAL:	776,015

^{1/} Includes \$211,000 for housing, education, and local travel.

ANNEX H

Commodities

Cost of commodities	\$424,700
Shipping (5%)	21,235
BUCEN time required for procurement activities	<u>30,000</u>
TOTAL:	475,935

BUCEN PASA

Technical assistance	\$ 959,050
Training	776,015
Commodities	<u>475,935</u>
TOTAL:	\$2,221,000

1/ Includes airfare: \$2,500 per round trip for 18 participants.

Resident Advisors

Salaries (7 person years)*	\$357,000
Post differential	35,700
Benefits/leave	121,380
Travel: Airfare	35,750
PD/Misc.	7,700
Local Travel	20,000
Transportation of things	61,500
Overheads	154,745
Housing	175,000
Education	15,000
Security/Medical exams	8,000
Contingency	<u>50,000</u>
TOTAL:	<u>\$1,042,775</u> =====

*Senior Advisor - @\$57,000/yr.
Others - @\$45,000/yr.

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Illustrative
Cost Estimate for Short-term Assistance

<u>Budget Item</u>	<u>Cost</u>
1. PERSONNEL COSTS:	
Supervisory staff (GS-14) (1 person month, \$4,125/month)	\$4,125
Survey Statistician (GS-13/5) (11 person months, \$3,314/month)	\$36,454
Secretary (GS-5/5) (2.3 person months, \$1,307/month)	3,006
SUB-TOTAL:	\$43,585
Benefits	5,102
Materials and Supplies	1,053
Employee Development	1,355
TOTAL PERSONNEL COSTS:	<u>\$52,105</u>
2. TRAVEL COSTS:	
Airfare (7 trips, \$2,500 each)	\$17,500
Per Diem (210 days, \$73/day)	15,380
Other travel costs (local travel, excess baggage, and contingency)	3,388
TOTAL TRAVEL COSTS:	<u>\$37,268</u>
3. OTHER COSTS: (specify)	
_____	_____
_____	_____
_____	_____
TOTAL OTHER COSTS:	\$ _____
4. AGENCY OVERHEADS: (31.22 percent)	\$27,902
5. TOTAL BUDGET:	<u>\$117,275</u> =====

Illustrative Budget Showing List of Commodities,
Cost of Acquisition and Delivery to Nearest Port in Thailand

Provinces

38 Copying Machines, ___ copies/minute, 8 1/2" x 11"	\$190,000
190 Programmable Hand Calculators (5 per province)	15,000
10 Microcomputers, with dot matrix printer, diskette, and surge suppressor. Capable in both Thai and English Software to include word processing and one programming language	50,000

Districts

1,430 Hand Calculators	\$36,000
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NRDCC

1 Word Processor with three stations and 1 letter quality printer, Thai/English	\$20,000
1 Copying Machine with 10 station collator, -- copies/minute	10,500
1 Mimeograph/ditto/reproduction machine	2,000
3 Air conditioners, 35,000 BTU each	5,400
2 Portable video recorders with TV monitors, and 1 Video Camara	12,700
1 Cassette tape recorder with loud speakers	2,400
1 35 mm. camera with accessories	2,200
1 35 mm. slide projector	3,000
5 sets monitoring and evaluation literature	10,000

Bureau of the Budget

1 copying machine with 10 station collator, -- copies/minute	\$10,500
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Annex H-3 (Cont'd)

IPIED

1 graphics map plotter with diskette input and microcomputer controlled	\$45,000
	TOTAL:
<u>\$424,700</u>	
Shipping costs, estimated at 5% of total	\$21,235
	Total
commodities and shipping	<u>\$445,935</u>
Cost of preparing specification, acquiring commodities, etc.	\$30,000
	TOTAL:
<u>\$475,935</u>	

Note: More precise estimates for the commodities themselves, and the shipping costs will be made when final specifications are provided.

Cost Estimate for In-country Workshops

<u>Budget Item</u>	<u>Cost</u>
1. PERSONNEL COSTS:	
Supervisory Staff (GS-14) (0.9 person months, \$4,125/month)	\$3,713
Survey Statistician (GS-13/5) (11.7 person months, \$3,314/month)	38,774
Computer Systems Analyst (GS-13/5) (__ person months, \$3,314/month)	_____
Mathematical Statistician (GS-13/5) (__ person months, \$3,314/months)	_____
Secretary (GS-5/5) (2.5 person months, \$1,307/month)	3,268
SUB-TOTAL:	<u>\$45,755</u>
Benefits (14 percent)	6,406
Materials and Supplies	2,288
Employee Development	1,521
TOTAL PERSONNEL COSTS:	<u>\$55,970</u>
2. TRAVEL COSTS:	
Airfare (5 trips, \$2,500 each)	\$12,500
Per Diem (154 days, \$78/day)	12,012
Other travel costs (local travel, excess baggage, and contingency)	2,451
TOTAL TRAVEL COSTS:	<u>\$26,963</u>
3. OTHER COSTS: (specify)	
_____	_____
_____	_____
_____	_____
TOTAL OTHER COSTS:	\$ _____
4. AGENCY OVERHEADS: (31.22 percent)	<u>\$25,892</u>
5. TOTAL BUDGET:	<u>\$108,825</u>

PROJECT AUTHORIZATION

ANNEX I

Country : Kingdom of Thailand
Project Title : Rural Development Monitoring
and Evaluation (RDME)
Project Number : 493-0339
A.I.D. Loan Number : 493-T-037

Pursuant to Section 103 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Rural Development Monitoring/Evaluation project for the Kingdom of Thailand involving planned obligations not to exceed Five Million United States Dollars (\$5,000,000.00) in loan funds over a one year period from the date of authorization to finance foreign exchange and local currency costs of the project. The PACD of the project is September 30, 1988.

The project is designed to strengthen and institutionalize the monitoring and evaluation systems of the National Rural Development Coordinating Center (NRDCC), and other relevant organizations within the Royal Thai Government (RTG). The loan funds will be used to fund technical assistance, commodities, systems operation, equipment operation and maintenance, training, and evaluation.

The Project Agreement which may be negotiated and executed by the officer(s) to whom such authority is delegated in accordance with AID regulations and delegations of authority, shall be subject to the following terms, covenants and major conditions, together with such other terms and conditions as AID may deem appropriate:

a) Interest Rate and Terms of Repayment

The Kingdom of Thailand shall repay the Loan to A.I.D. in U.S. dollars within forty (40) years from the date of first disbursement of the Loan, including a grace period of not to exceed (10) years. The Kingdom of Thailand shall pay to A.I.D. in U.S. dollars interest from the date of first disbursement of the Loan at the rate of (a) two percent (2%) per annum during the first ten (10) years, and (b) three percent (3%) per annum thereafter, on the outstanding disbursed balance of the Loan and on any due and unpaid interest accrued thereon.

b) Source and Origin of Goods and Services

Commodities financed by A.I.D. under the Project shall have their source and origin in the U.S., Thailand, or countries included in A.I.D. Geographic Code 941, except as A.I.D. may otherwise agree in writing. The suppliers of commodities or services financed by A.I.D. under the Project shall have the United States, Thailand or countries included in A.I.D. Geographic Code 941 as their place of nationality. Ocean

shipping financed by A.I.D. under the loan shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States, Thailand, or Code 941 countries.

c) Source/Origin Waiver

Pursuant to the authority granted to me by Redelelegation of Authority 40.10 (revised), I hereby waive:

the requirement in Section 636 (i) of the FAA, and AID's source/origin requirements, to permit the use of loan funds for the procurement of two mini-buses with right-hand drive, assembled in Thailand from components manufactured in Japan and Thailand, at a price not to exceed \$33,000

I hereby certify that exclusion of procurement of these two mini-buses from free world countries other than the cooperating country and countries included in Code 941 would seriously impede attainment of U.S. foreign policy objectives and objectives of the foreign assistance program, which this project is intended to serve.

In addition to the standard conditions precedent relating to a legal opinion and designated representatives to be included in the project agreement, the following will also be included as a condition precedent to disbursements for activities other than technical assistance and training:

1. Prior to disbursements for activities other than technical assistance and training, the borrower, except as AID may otherwise agree in writing, will furnish to AID in form and substance satisfactory to AID, a financial workplan for the first year of project activities.

The following covenants also will be included in the project agreement:

1. That the borrower will establish and fill any mutually agreed upon additional personnel positions that are found to be necessary to successfully implement this project.
2. That the borrower will budget for and fund on a continuing basis, beginning in the third year of the project, recurrent costs of systems operations, including personnel positions which have been agreed upon by the borrower and AID.

Robert Halligan
 Robert Halligan, Mission Director
 Authorizing Officer

30 April '84
 Date

Clearances: O/PERE:JEVans: JE Date: 4-27-84
 O/PRO:EPloch: EP Date: 4/27/84
 O/FIN:TFallon: TF Date: 4/27/84
 DD:CPeasley: CP Date: 4/29
 PL A. L. Childs (Substantive)

AMPLIFIED PROJECT DESCRIPTION

I. Project Description

This is a four year project to provide technical assistance, training of government officials, equipment and operational support to develop and strengthen monitoring and evaluation systems in the National Rural Development Program (NRDP) with an initial focus on the Rural Poverty Alleviation Program (RPAP). The project will assist the National Rural Development Coordinating Center (NRDCC) in developing the institutional capability in its M&E unit to coordinate ministry/department and field level M&E functions, provide technical assistance to strengthen and rationalize ministerial M&E functions, and carry out its assigned responsibilities for general monitoring and evaluation of rural development programs. An examination of existing M&E systems and procedures, to identify present strengths and weaknesses, will be the basis for development of specific work plans to achieve project objectives.

II. Project Implementation

The first stage of the project--including arrival of consultants and activity planning--is expected to take six months. During this stage, detailed analysis will be undertaken to identify more specific system needs. By the end of this first stage, NRDCC/IPIED will have developed (together with the advisors) a detailed analysis of perceived needs to strengthen the monitoring and evaluation system, and a life of project work plan based on that analysis which will be submitted to USAID.

The second stage of the project -- activity implementation -- consists of carrying out these individual institution and capacity- building plans. It is anticipated that an operational monitoring and evaluation system will dovetail with the start of the planning process for the Sixth Plan period. The system would then be evaluated and revised in time for the start of the Sixth Plan period.

The project will also assist the NRDCC and the ministries to prepare for the regular progress reviews of the RPAP program and of the rural areas benefiting from the program. Three reviews are tentatively shown as scheduled for the first quarter of 1985, 1986 and 1987, in which the RTG and the co-financier agencies (IBRD, JICA, UNDP, USAID) can jointly review progress, coordination and any adjustments that might be needed to improve implementation and impact.

III. Procurement

About seven person-years of long-term and 11 person-months of short-term expatriate technical assistance is anticipated. Up to six

person-years of long-term, plus about 12 person-months of short-term, Thai consultant services are also planned. The US-originated services will be mobilized through a PASA to be negotiated with the U.S. Bureau of the Census. If USAID is unable to conclude a PASA with the Bureau, host country contracting will be used for both expatriate and local consultancies. The NRDCC would be responsible for such contracting. All local contracts will be negotiated and signed by the NRDCC, using RTG/USAID approved procedures.

The NRDCC will be responsible for coordinating commodity procurement activities in this project. The NRDCC will utilize the technical assistance team for advice and assistance (especially in developing technical specifications) prior to approving procurement actions, and the team will act as agent for NRDCC to procure all office equipment, computer equipment, and other related materials and equipment that will be purchased outside Thailand. Computers and computer accessories require concurrence of SER/IRM in AID/W. The NRDCC will receive and clear through customs, as appropriate, all offshore purchased project equipment.

Equipment procured locally will be purchased by the NRDCC, using their own procurement procedures. These procedures are subject to prior review and modifications, as needed, by the Regional Commodity Management Officer (RCMO) of USAID. Procurements from the U.S. (or other Code 941 countries) will be conducted in accordance with Handbook 11 guidelines.

Major orientation and training will be required during the period 1984-86. Two senior staff members of the NRDCC will undergo a 2-3 month intensive course on M&E in the US. They will subsequently assist in the conduct of a short course in Thailand which would provide basic training in M&E methods for departmental, NRDCC, BOB, etc. staff. More extensive training in statistical methods, systems analysis and program management will be required at the masters degree and diploma level for the core cadre of professionals who will carry the principal technical responsibilities for the M&E operations of their respective agencies and departments. Local computer training will be needed by all staff responsible for operating the terminals being provided by JICA and for a number of analysts. MOI officials at the province and district levels will need a combination of orientation and training covering their responsibilities for the planning/budgeting documentation and the M&E processes. Tambon CD officers will need careful preparation for raising the quality of the village status survey exercise. Training will also be needed by field staff of the four ministries in their reporting functions. Responsibility for identifying participants to receive training will be with NRDCC. The technical assistance team will have responsibility for enrolling participants in overseas programs. The RTG will be responsible for international travel costs of all persons trained overseas.

The project also finances equipment operations and maintenance, system operations, special evaluation studies, contingencies, and project evaluation.

IV. Monitoring

The primary responsibility for managing this project rests with the Director of the NRDCC, who is concurrently the Assistant Secretary General of NESDB. It is expected that the NRDCC will develop and implement its own plan for monitoring project activities. NRDCC will be responsible for monitoring project expenditures, and for the use of project inputs. It shall act as the central point of accountability for use of project funds except those expended directly by USAID.

To assist USAID in monitoring this project, USAID will require the timely submission of a series of reports reflecting the status of activities being undertaken by this project. Short, concise but informative monthly progress reports will be required from the long term technical assistance team (and the senior advisor, if the JCC/PCS option is exercised), detailing progress during the reporting period and planned accomplishment for the next period. Semi-annual progress reports will also be required from NRDCC addressing such things as staff recruitment, development, and training. An annual financial plan, shall be required from NRDCC at the beginning of each fiscal year, followed at the end of each year by a report on actions taken pursuant to that plan. In addition, USAID will receive copies of all evaluations and other special studies done by the NRDCC.

V. Evaluations

Two AID-type evaluations are planned for this project, a midterm evaluation and an end of project impact evaluation. The midterm evaluation will focus on timeliness and effectiveness of project inputs. It will be timed to coincide with one of the annual evaluative reviews of the RPAP, to take advantage of the lessons learned in that review of the progress of the RPAP as a whole. The final end of project evaluation will be an impact evaluation, and will focus on whether EOPS targets have been met, whether the project purpose can said to have been achieved, and the extent to which the project has contributed to realization of the project goal.

VI. Financial Plan

The total cost of the project is estimated at \$24.98 million of which AID will fund \$5.0 million and the the RTG \$19.98 million. NRDCC, as coordinator of the project, will be responsible for planning, budgeting, disbursing, accounting for and reporting on the status of project funds to AID. NRDCC will prepare and submit to USAID/Thailand an annual financial workplan by project element which when approved by AID will earmark project funds. The plan will include all major activities for which AID and RTG funds will be used during the year.

An advance of funds will be requested from the Controller General's Office of the Ministry of Finance through normal RTG budgeting procedures for such amounts as would be necessary to fund ongoing activities.

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The RTG will be reimbursed by USAID based on financial statements received from authorized officials in a format approved by USAID. These reimbursements would be for costs incurred under approved financial plans.

In addition to reimbursement, other disbursement procedures which may be used are direct payment to vendors, direct Letters of Commitment to consulting firms and issuance of Project Implementation Documents for Participants.

SUMMARY COST ESTIMATE AND FINANCIAL PLAN
(US \$000)

Baht 23 = 1 \$US

MAJOR PROJECT INPUTS	AID			HOST COUNTRY		TOTAL
	FX	LC	Total	FX	LC	
I. Commodities	476	217	693	-	-	693
II. Operations & Maintenance	-	236	236	-	1,981	2,217
III. Technical Assistance	1,181	159	1,340	-	745	2,085
IV. Evaluation Studies	-	400	400	-	40	440
V. Training	775	372	1,147	-	633	1,780
VI. Systems Operations	-	927	927	-	16,576	17,503
VII. Mid-Project and Final Evaluation	60	40	100	-	-	100
Contingencies	100	57	157	-	-	157
TOTAL	2,592	2,408	5,000	-	19,975	24,975

INITIAL ENVIRONMENTAL EXAMINATION

Project Location: Thailand

Project Title: Rural Development Monitoring/Evaluation (RDM/E)

Funding: \$5 million loan

Life of Project: 5 years

IEE Drafted by: Det Trisahd, O/ARD, USAID/T *[Signature]*

Reviewed by: John Neave, O/PES, USAID/T *[Signature]*

Environmental Action Recommendation: Categorical Exclusion under 22 CFR 216.2(c)(2)(xiv)

Concurrence: Mission Director *Robert Halligen*

Bureau Environmental Officer's Decision:

APPROVED *Michael S. D'Alley*

DISAPPROVED _____

Date Sept. 26, 1983

I. Project Description

The RDM/E project is designed to strengthen the management system for the Rural Poverty Alleviation Program of the RTG National Rural Development Program. It will provide necessary information to decision makers which will enable them to undertake continuing evaluation and adjustment of priorities and programs as economic and social circumstances, together with the level of available resources, go through inevitable shifts and changes.

II. Identification of Impacts

None of the RDM/E activities will have direct effects on the environment in that they contain no direct activities on land use, water quality, atmosphere, natural resources, culture, or health. This project deals only with the process of strengthening management/planning systems.

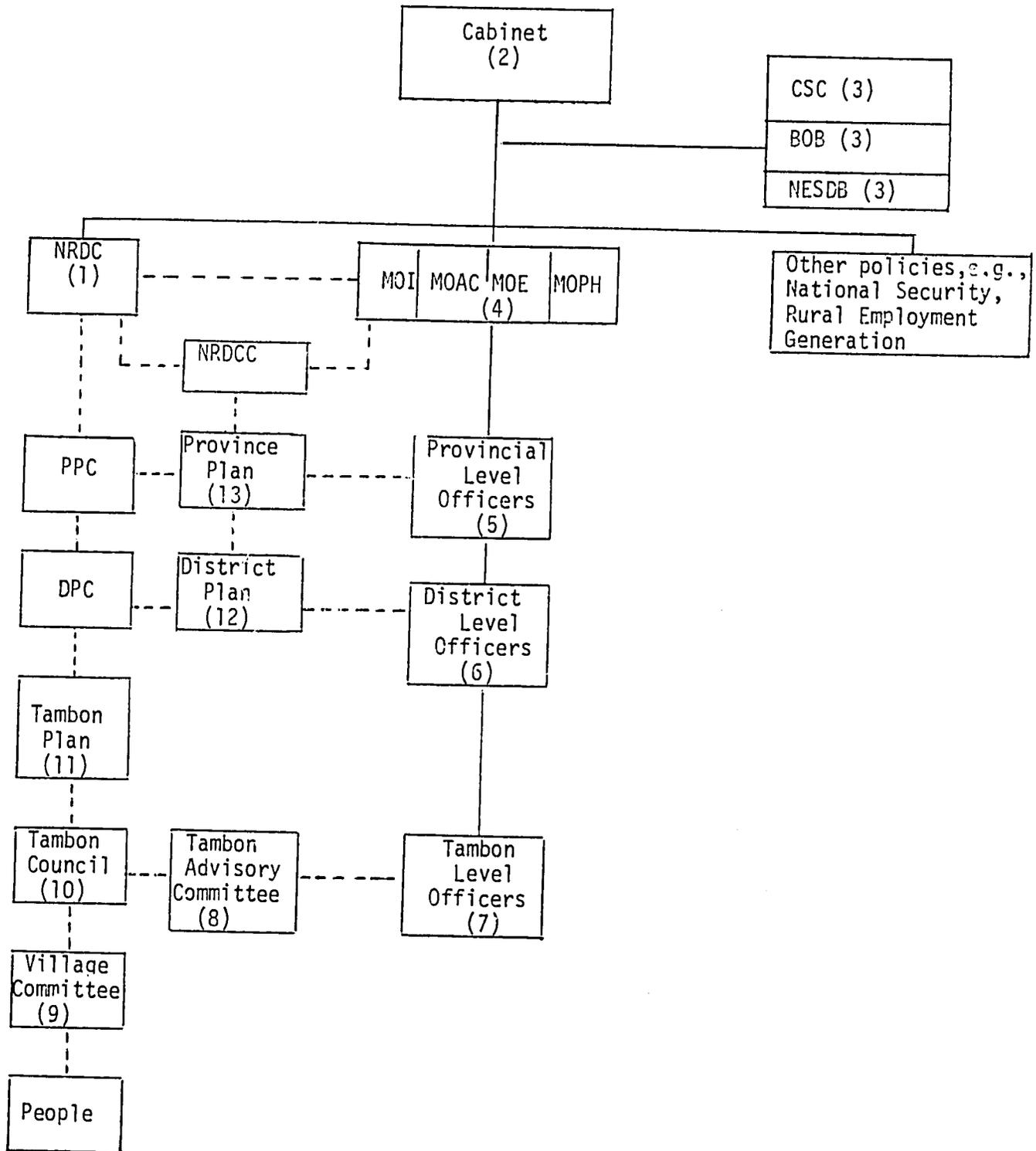
III. Conclusions and Recommendations

Based on the project description and identification of impact given above, it is judged that the project meets the criteria for a Categorical Exclusion under 22 CFR 216.2 (c) (2) (xiv), quoted below:

(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.);

There will be no construction, etc., under the project. A categorical exclusion is therefore requested.

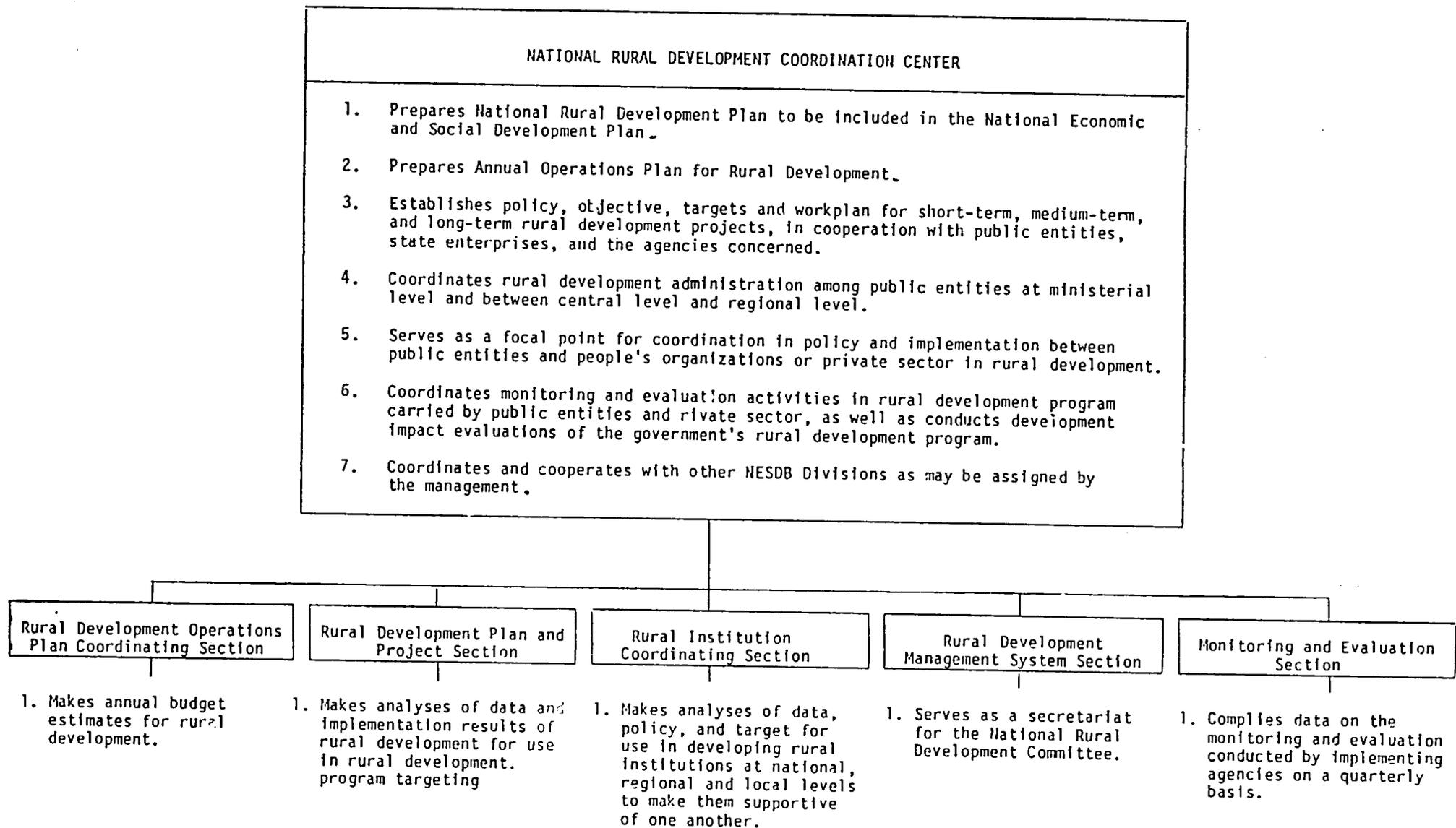
NRDC ORGANIZATION CHART



Numbers denote steps of work, starting from (1) through ((13). Then, the work cycle is repeated again at (1) each year.

PPC = Provincial Planning Committee
 DPC = District Planning Committee

———— Line of Authority
 - - - - - Line of Coordination



ANNEX M

2. Coordinates with the ministries involved and the service agencies in rural development in preparing rural development operations plans.
2. Makes analysis of data for use in consideration and establishment of policy, work plan, project and strategy in important aspects of rural development, such as land, basic inputs in rural development, and others.
2. Establishes guidelines, and strategies in fiscal marketing, and other matters to promote, support, and coordinate rural development with people's organizations or private institutions such as cooperatives, farmer associations, village development committees, and others.
2. Prepares documents, briefing and technical summaries for submission to the National Rural Development Committee.
2. Makes analysis of data on the monitoring and evaluation conducted by each implementing agency on a yearly basis.
3. Coordinates and considers operations plans between national and provincial level.
3. Makes analysis of work plan and projects of implementing agencies on the agencies involved.
3. Coordinates and exchange rural development information with private institutions in rural development, domestically and internationally.
3. Cooperates with the agencies involved in organizing the meetings, seminars, and training in rural development program.
3. Prepares an annual report on monitoring and evaluation for submission to NRDC.
4. Prepares Annual Rural Development Plan.
4. Prepares short-term, medium-term and long-term rural development plans.
4. Conducts the meeting and compiles reports and documents of the meeting on rural development conducted by entities under the National Rural Development Committee.
4. Conducts an annual impact evaluation of rural development.
5. Expedites and sees to it that the public entities involved execute the work in accordance with regulations, rules, and resolutions of the meeting held by NRDC and the Cabinet regarding rural development matters.
5. Gathers that information necessary for use as tool for evaluation.

PROJECT ACTIVITIES OF THE RURAL POVERTY ALLEVIATION PROGRAM

- | | |
|---|---|
| A. <u>Ministry of Agriculture and Cooperatives</u> | B. <u>Ministry of Interior</u> |
| 1. Village fisheries | 1. Village water sources |
| 2. Village animals for food | 2. Multipurpose rural development project under the Japanese Loan Program, stage 2 (NVDP 2) |
| 3. Cattle/buffalo banks | 3. Legal assistance |
| 4. Village fisheries in the poor rural area in the South | 4. Mobile district services unit |
| 5. Village agriculture waterplaces | 5. Replacement of timber bridges |
| 6. Production of inutritious food | C. <u>Ministry of Public Health</u> |
| 7. Highland rice farming | 1. District hospitals |
| 8. Soil improvements | 2. Primary health care services |
| 9. Saline soil in the Northeast | 3. Nutrition |
| 10. Rainfed rice in poor rural area | 4. Potable water supply |
| 11. Livestock in poor rural area | 5. Communicable disease control |
| 12. Development of saline soil and acid soil in the South | 6. Family planning |
| 13. Prevention of soil erosion in the North | 7. Tambon Health Center |
| 14. Increasing productivity of upland crops in poor rural area | D. <u>Ministry of Education</u> |
| 15. The promotion and development of fruit-trees and perennial trees in poor rural area | 1. Book publishing to promote the quality of life and sociality |
| 16. Community utilization of plants | 2. Education for poor rural area village development project |
| | 3. The promotion of community leaders' role for the development of poor rural area |
| | 4. The campaign for literacy in the poor rural area project |
| | 5. Non-formal education to support rural development in poor rural area |