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**VOLUME II: APPENDICES**

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**Evaluation  
of the  
Peace Corps  
Small Project Assistance (SPA) Program**

**Prepared for  
Peace Corps  
Office of Training and Program Support  
under  
Contract No. PC-388-1004**

**March 21, 1989**

**by**

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## PREFACE

The worldwide evaluation of the Small Project Assistance Program was conducted by TvT Associates for the Peace Corps under contract number PC-388-1004 between March 1, 1988 and March 21, 1989. The work was conducted in six phases: Pre-evaluation Research, Evaluation Design, Field Test, Field Data Collection, Data Analysis, and Report Preparation.

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Africa Region: Kenya, Lesotho, Mali, Senegal

Inter-America Region: Costa Rica, Dominican Republic,  
Honduras, Jamaica, Paraguay

NANEAP Region: The Philippines, Thailand

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**Appendix A**  
**OBJECTIVES OF THE EVALUATION**

## APPENDIX A

### OBJECTIVES OF THE EVALUATION

This appendix contains the specific evaluation issues and questions within each of the major areas of inquiry of the evaluation: (1) the impact of current projects, (2) the impact of completed projects, (3) administrative issues, and (4) issues related to A.I.D. and Peace Corps cooperation, as well as the effects of the program on relationships between Peace Corps and host country nationals.

## OBJECTIVES OF THE EVALUATION

(From the Contract Work Statement)

A.I.D. and Peace Corps have agreed to conduct an evaluation of the program in order to analyze the impact of the program and its overall effectiveness. The Contractor will develop and implement evaluation instruments which respond to the following issues and questions:

1. Impact of current projects: To what extent are SPA projects achieving their objectives, as stated in the individual activity agreements? Are goals for SPA projects clearly stated? Is the community contributing to the project as was intended in the project proposal? What are the unexpected outcomes of the project -- either negative or positive? If there have been program delays, what has caused them? Is the Peace Corps staff doing an adequate job of monitoring project performance? What role does technical assistance fulfill in supporting Volunteers and their counterparts in SPA activities?
2. Impact of completed projects: Six months or more after projects have been completed, the following issues shall be addressed for a representative sampling of SPA projects: Did the project achieve its original objectives? Is the project continuing to benefit the community? Did the SPA project have measurable results? Did the project lead to any other community initiatives? If the project was not successful, what factors contributed to its failure?
3. Administration Issues: What disbursement mechanisms are utilized? Were funds accounted for? Were all funds spent? If not, what was done with surplus funding? How can disbursement problems be resolved? Does a central funding mechanism, such as is used for the Health component, affect the successful implementation of community activities as opposed to the regional, in-country funding used for food production, income generating and energy activities? How can paperwork related to the SPA program be made more consistent from one country to the next? How effectively is the Peace Corps training its Volunteers and Staff in goals and mechanisms of the SPA program, as well as the program's philosophy? How can delays in approval of projects be avoided? Does the Peace Corps monitor and evaluate activities successfully? What kind of technical assistance does the field require for the management and administration of the SPA program?
4. Issues Related to A.I.D./Peace Corps Cooperation: Does the SPA program contribute to greater cooperation between A.I.D. and the Peace Corps at the field level? Are A.I.D. personnel adequately briefed in the program? What is the

proper level of A.I.D. staff and administrative involvement at the country level in the program?

Further, the evaluation should determine if the program serves the interests of both Agencies by examining whether the program changes the PCV's relationship with the village; i.e., is the PCV viewed as a grantsperson? Does the fund politicize the Peace Corps country program? Does the program emphasize the "donor" concept of foreign assistance? If so, to what degree?

**Appendix B**  
**EVALUATION METHODOLOGY**  
**and PROCEDURES**

## **APPENDIX B**

### **EVALUATION METHODOLOGY AND PROCEDURES**

The following pages detail the methodology and procedures used in the conduct of this evaluation of the SPA Program. This includes a description of the project sample and the field work strategy, and an overview of the areas of investigation and the data collection instruments used to address those subjects. The instruments are included in Volume III of this report.

## EVALUATION METHODOLOGY AND PROCEDURES

### OVERVIEW

The basic parameters of the evaluation design were specified in the statement of work (Appendix A) for the contract; that is, the:

- o principal evaluation issues, questions and areas of inquiry;
- o list of 11 countries to be visited and in which SPA projects were to be selected for study;
- o guidelines for selection of SPA projects; and
- o reporting requirements.

Based upon these specifications, TvT Associates' project staff developed a sample of projects, a field work strategy, data collection instruments, and analysis plans. The remainder of this discussion focuses on how each of these aspects of the evaluation was implemented.

### PROJECT SAMPLE

It was desired to sample both completed and in-progress projects. Completed projects would provide an opportunity for identifying and assessing project outcomes. The in-progress projects would afford the opportunity to observe and study administrative processes in more detail than possible for the completed projects. For each country, a maximum of 9 projects were to be reviewed: 6 projects conducted between October 1984 and October 1987 (completed projects), and 3 in-progress projects. The in-progress projects were identified by Peace Corps officials in each country, usually at the time of the visit. Among those identified as in-progress projects were some that had in fact been completed recently. These latter projects were grouped with the in-progress projects because (1) the amount of time since their completion did not allow for a clear understanding of project impact, and (2) the projects were recent enough to have the same SPA management processes and mechanisms as many of the in-progress projects. These projects grouped together are labeled "recent projects." Brief descriptions of all projects are provided in Appendix C.

Completed projects were selected based on a classification system used for the Peace Corps Washington files. This is a two-part system composed of the project's Primary Classification:

1. Food Production/Income Generation
2. Small Enterprise Development/Income Generation
3. Food Production
4. Energy
5. Other
6. Health

and an Activity Code which identifies the technical content or nature of the activity. Before selection, some activity codes were combined (for example, small animal husbandry, chicken projects, pigs, rabbits, goats and sheep were grouped under food production/animals). The Primary Classification and the Activity Code (some grouped) combinations which appeared at least 10 times on the list totalling 1886 projects contained in the Peace Corps Washington data base as of April 1, 1988 were used as the sample universe. From this list 66 completed projects were selected in frequencies that reflected their distribution in the total data base. The Primary Classifications and Activity Codes used to select the sample are listed in columns (1) and (2) in Table B-1. The number of projects selected in each combination, reflecting the distribution of the combinations in the data base, is listed in column (3).

Site selections for completed projects were identified to countries in advance of the visit in order to aid in the travel preparations to those projects. Logistical considerations (weather, geography, travel time, and availability of persons knowledgeable of the projects) made visits to all of the identified projects impossible. Alternate projects were selected using the same criteria to the extent possible. This became increasingly difficult as country visits were completed and classification combinations were represented in the projects already visited. The number and classifications of the alternate sample projects are shown at the bottom of Table B-1. The actual number of completed projects visited was 55, including the original and alternate selections, as shown in column (4) of Table B-1.

Classification codes were assigned to the recent projects since they were not always in the Washington data base. Thirty-three projects were planned for this group and 39 were actually visited (Table B-2). Thus, the final sample of projects totalled 94; 55 completed and 39 recent/in-progress.

SAMPLE SELECTION DATA FOR COMPLETED PROJECTS

(1) Primary Classification	(2) Activity Code	(3) Number required for sample of 66 projects	(4) Actual number sampled
1. Food Production/ Income Generation	160-Food Production/Integrated	1	1
	100-Food Production/Animals	6	4
	700-Food Production/Fish	1	1
	300-Gardening	4	2
	350-Food Production/Trees	1	1
	140-Beekeeping	1	1
	260-Food Transformation	1	0
	240-Food/Other	2	2
	200-Cooperatives	1	0
	280-Small Business Development	1	0
	510-Wells/Well Construction	1	1
	530-Irrigation and Pumps	1	1
990-Other, other	1	2	
2. Small Enterprise Development/ Income Generation	100-Food Production/Animals	1	0
	140-Beekeeping	1	0
	240-Food/Other	1	1
	200-Cooperatives	3	5
	280-Small Business Development	3	2
	270-Credit/Other Financing	1	1
	230-Income/Vocational Skills	1	1
	990-Other, other	1	0
3. Food Production	100-Food Production/Animals	2	0
	300-Gardening	2	2
	350-Food Production/Trees	1	1
	240-Food/Other	1	0
	200-Cooperatives	1	0
	510-Wells/Well Construction	1	0
	530-Irrigation and Pumps	1	1
4. Energy	400-Energy	1	1
	410-Cookstoves	1	2
	440-Renewable Resources	1	2
5. Other	500-Water Sanitation/Supply	1	1
	510-Wells/Well Construction	1	1
	540-Water Catchment	1	0
	560-Latrines and Toilets	1	1
	600-Health, other	1	1
	990-Other, other	3	1
6. Health	610-Health Education	1	0
	500-Water Sanitation/Supply	2	1
	510-Wells/Well Construction	1	1
	540-Water Catchment	1	2
	550-Gravity Water Systems	1	1
	560-Latrines and Toilets	3	3
	600-Health, other	2	2
	990-Other, other	1	0
<b>Alternate Projects</b>			
1. Food Production/ Income Generation	500-Water Sanitation/Supply		1
	540-Water Catchment		1
2. Small Enterprise Development/ Income Generation	260-Food Transformation		1
5. Other	530-Irrigation and Pumps		1
6. Health	160-Food Production/Integrated		1
<b>Totals</b>		<b>66</b>	<b>55</b>

TABLE B-2

SAMPLE SELECTION DATA FOR RECENT PROJECTS

Primary Classification	Activity Code	Number Visited
1. Food Production/Income Generation	100-Food Production/Animals	2
	700-Food Production/Fish	1
	350-Food Production/Trees	2
	260-Food Transformation	1
	280-Small Business Development	1
	300-Gardening	2
	500-Water Sanitation/Supply	1
	510-Wells/Well Construction	2
2. Small Enterprise Development/Income Generation	100-Food Production/Animals	1
	200-Cooperatives	2
	270-Credit/Other Financing	1
	230-Income/Vocational Skills	1
	990-Other, other	3
	No Code	2
3. Food Production	100-Food Production/Animals	1
	200-Cooperatives	1
	510-Wells/Well Construction	1
	700-Food Production/Fish	1
6. Health	610-Health Education	1
	500-Water Sanitation/Supply	3
	540-Water Catchment	2
	560-Latrines & Toilets	2
	600-Health, other	4
	990-Other, other	1

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**FIELD WORK STRATEGY/DATA COLLECTION INSTRUMENTS**

The visits to each of the countries were preceded by contact between SPA/OTAPS and the country Peace Corps Director (PCD) or designate. During these contacts, SPA/OTAPS communicated information on the sample of completed projects, the need to sample in-progress SPA projects, the dates of the visit, the general nature of the field work, the types of program records to be reviewed, and the persons to be interviewed during the field visits. One important part of this communication was to stress that the visit would be for data collection purposes only and would not produce or contribute to an evaluation of country operations.

The field work in each country was conducted by one or two evaluators from TvT Associates, depending on the size of the program and the logistical considerations. Upon arrival in each country, the TvT evaluator(s) met with the PCD or designate. At that time, details of the field work were discussed, in-progress SPA projects were selected, and a schedule was developed for the visit. During the following period of approximately 11 working days in each country, projects were visited and information on

management, administration and coordination and technical assistance was collected.

## **MANAGEMENT, ADMINISTRATION AND COORDINATION**

Information on SPA program management and operations and interagency coordination was collected from Peace Corps and USAID management and staff. Peace Corps Volunteers (PCVs) who had been in the country for at least 6 months were interviewed regarding their general experience with small project work. Initially these PCVs were contacted in person, and in later country visits they were asked to respond to a circulated survey form. The goal was to administer the questionnaire to 15 percent of the PCVs in the countries visited. It was estimated that responses would be obtained from two-thirds of those PCVs (10 percent of the total). Based on PC staff information, the universe of PCVs in the 11 countries was 1,845. Responses were obtained from 113 PCVs or slightly more than 6 percent of the total. Response rates ranged from 2 to 15 percent in individual countries.

## **TECHNICAL ASSISTANCE**

Based on the records of SPA-supported technical assistance activities and recipients for fiscal years 1986 and 1987, provided by SPA/OTAPS, TvT evaluators identified and conducted interviews with the managers of and participants in those activities in each country. Included in the evaluation data collection design was a confirmation of costs for individual in-country activities. Efforts were unsuccessful to obtain accounting information regarding SPA technical assistance because Peace Corps systems did not account for individual technical assistance events.

## **PROJECT REVIEW**

Information on SPA projects was collected from a variety of sources during each visit. The projects visited provided an opportunity to observe the project site and hold informal discussions with host country nationals who were participants in or beneficiaries of the SPA project. When possible, discussions also were held with the PCV who was involved with the project and the Peace Corps staff person with oversight of the PCV. A document review focusing on the proposal, any evaluative material, and accounting documentation also was conducted where

possible. These project reviews also produced information on the management review, such as time spent on proposal development, time to project completion, et cetera, which was used as dependent variables in reviewing different management and administrative systems.

The evaluation data collection system included nine instruments. These instruments were semi-structured; that is, the data requirements of each instrument were detailed and TvT evaluators sought respondents who were familiar with different aspects of the SPA program based on their own direct experience and knowledge, in the fields of inquiry described below. This flexibility was necessary because the SPA structure and roles vary among countries. Thus, the titles of the instruments, with the exception of the one for Volunteers, refer more to the type of information to be collected than to the persons interviewed.

The specific forms and questions representing the data collection systems are provided in Volume III of this report and are available from SPA/OTAPS. However, it should be noted that they were prepared to respond to a specific statement of work for a worldwide evaluation, and are not appropriate for individual country evaluations. The types of information sought with each of the data collection forms are as follows:

#### Peace Corps/USAID Directors' and Programmatic Managers' Overview

- o Involvement with SPA, including communications with SPA/OTAPS.
- o PC-A.I.D. linkages, including shared responsibilities, funding and administrative arrangements and issues.
- o PC-Host Country linkages, including roles in SPA of host country authorities and perceived impact of SPA on PC's relations with the host country government and communities.
- o Technical Assistance; TA needed, used; availability, sufficiency, effectiveness.
- o SPA project identification, approval, funding, disbursement, accounting, monitoring, etc.
- o Perceived strengths and weaknesses of SPA, its impact on grassroots development efforts, and recommendations for change.

Additionally, the Managers' Overview included information regarding:

- o SPA-related training provided by the PC post.
- o Perceptions of the Peace Corps as a source of funding by the community.

### Project Overviews

- o Proposal/Approval documents, including IAA checklist, budget, etc.
- o Comparison of proposal with the IAA checklist and other SPA guidelines.
- o Assessment by the evaluator of the projects' conformance with guidelines, project expenditures, and potential for success.

### Project Interviews

- o Historical context of SPA project, including development of its goals and objectives, decision to use SPA funds, who was involved in planning, etc.
- o Beneficiaries of the project and their involvement with the project; community contributions to the project, roles and responsibilities.
- o Funding and materials resources.
- o The project approval process, including proposal preparation, who was involved; length of process, problems, etc.
- o The start-up phase, including problems and achievements, adequacy of planning, etc.
- o Need for and nature of any technical assistance received.
- o Degree and nature of cooperation among the project and group members, community members, Peace Corps staff, technical assistance providers, local authorities, etc.
- o Project outcomes, including unexpected outcomes, and problems and successes.
- o Projected long-term impact of the project on the community.

### SPA Project Manager

- o Nature and extent of involvement with SPA project and activities.

- o Problems and accomplishments in managing the project.

#### SPA-Technical Assistance Management

- o Content and objectives of the technical assistance (TA) activity.
- o Development of TA idea, design of TA activity, process for requesting TA, decision to use SPA/TA, etc.
- o The process for receiving TA resources/approvals from SPA/OTAPS and other sources, including length of time for approval.
- o Participants in TA activity, whether and how TA differed from planned activity, etc.
- o Perceived strengths, weaknesses and consequences of TA activity.
- o Administrative and funding issues involved with the TA activity.

#### SPA-Technical Assistance Participants

- o Role in designing and implementing TA activity, involvement of community members.
- o Assessment of the TA activity, how it helped the participant/community.

#### SPA-Technical Assistance Data

- o Proposed and actual costs for TA by SPA-TA budget line item, and grouped by expenditures for facilitators, participants and other.
- o Use of non-SPA TA funds.
- o Total TA costs combining SPA and non-SPA fund expenditures.
- o Comparison of country accounting data for TA with Washington TA records.
- o Reporting on TA activities.

## Peace Corps Volunteer Questionnaire

- o Roles and functions of the PCV vis-a-vis the community, including secondary project work (SPA or other), whether PCV uses or manages any funds, etc.
- o Perceptions of how the community perceives the PCV, any changes in these perceptions after starting a funded project.
- o Description of any SPA project, how it fits into PCV's "regular" work.
- o Skills and training in small project management, including orientation to the SPA program and using money as a resource.
- o Advantages and disadvantages of using the SPA program.
- o (For those with SPA experience) whether they would use SPA again; (for those without SPA experience) whether they would desire to use SPA funds and why.

## DATA ANALYSIS

All information from the data collection instruments was coded and stored in a statistical data base for analysis. The data were content coded, and all relevant categories of information were included in the data base, regardless of the frequency of particular items or responses. "Data grouping" rather than "data reduction" was employed in the processing of the information because data reduction which would have facilitated data manipulation tasks, would also have resulted in the loss of much of the range and richness of the data.

The basic tool of analysis used is the cross-tabulation of variables to identify relationships. For example, project outcome or success variables were related to SPA project characteristics to determine variations of outcomes with the presence of different project characteristics. The particular data comparisons were determined by the objectives and issues of the evaluation and various hypotheses derived from those objectives. The specific analyses and data comparisons are presented in context at appropriate points in the text.

**Appendix C**  
**PROJECT DESCRIPTIONS**

## APPENDIX C

### PROJECT DESCRIPTIONS

The following pages contain brief descriptions of the projects visited along with their Primary Classification and Activity Codes. A second pair of Primary Classification and Activity Codes are listed where (1) the code did not agree with observations of the project, and (2) projects coded as "other" could be assigned a more definitive code. Project Individual Activity Agreement numbers have been removed from the descriptions since the projects visited were selected to represent the world-wide program and not individual country systems.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

In an attempt to revive the self-help efforts of an informal women's group, a PCV obtained \$760 from SPA to regenerate a poultry production project. With the money, 20 members bought 250 chickens, which they learned to raise, slaughter, and market with the help of a national training agency. The group realized a small profit at the end of their first production cycle, but lost their working capital in their second year when the flock was destroyed by a disease. Despite this setback, the group feels capable of managing a project once again, and they are planning to initiate a duck production enterprise.

Primary Classification: 6 Health  
Activity Code: 500 Water: Sanitation and Supply

A PCV and community group requested funding from SPA in order to rent a backhoe to help dig the 17 kilometers of trenches needed to install a water system to deliver water to 110 households. A grant of \$2,959 from SPA was given for the rental of the backhoe, while other costs and labor were contributed by the community and the local government. The system, once completed, will provide year-round clean water for the village. The project has mobilized the village, which plans to institute a variety of ancillary projects once the water system is in place.

Primary Classification: 6 Health  
Activity Code: 600 Health Other

A community housing group and a PCV collaborated with the government housing authority to build 30 septic tanks. The project was partially funded by \$2,351 from SPA. Four of the 30 tanks have been built and the community group feels a new confidence in its ability to work with government agencies.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 240 Market Access

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 990 Other: Bridge

An isolated community requested and received \$890 from SPA to help fund a permanent bridge to afford the village of 500 easier access to the local town. Village enthusiasm was high as a local engineer and PCV collaborated to design a bridge and breakwater to provide vehicle access year round. Before the bridge was completed, the PCV and engineer left the project as the result of local political changes, and a new design was used. The bridge was damaged by recent floods and now can support only foot and cart traffic.

Primary Classification: 3 Food Production  
Activity Code: 700 Food Production/Fish

A PCV obtained \$4,280 in SPA funds to help reactivate a stock fish station by rehabilitating it and stocking its fingerling ponds. The ongoing project has been successful to date; however, its continued operation is problematic since the PCV has assumed responsibility for all aspects of production. The agricultural extension station has yet to express an interest in maintaining the ponds.

Primary Classification: 6 Health  
Activity Code: 560 Latrines and Toilets

A PCV and local community drew up a project that requested \$1,100 from SPA to help finance a village latrine construction project. The goal of the project is to provide one latrine per family. The latrine design is innovative in that the ferro-cement containers will be used alternately: once the first container is filled, the second will be used and the first will be left for six months until its contents have become "clean" and can be used for organic fertilizer. The project is ongoing but the evaluator felt that it had sufficient technical backstopping and community support to be successful.

Primary Classification: 6 Health  
Activity Code: 560 Latrines and Toilets

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 560 Latrines and Toilets

A community development group approached a local PCV to help initiate a self-help project designed to build low-cost latrines through an existing cooperative group. The group obtained \$393 to purchase a brickmaking machine that would produce enough bricks to meet demands for the construction of latrines. The machine, which was ostensibly purchased exclusively for latrine construction, was used to make bricks to be sold for other purposes. There has been a long term shortage of cement in the area and few of the planned latrines have been built. The construction of latrines is "on hold."

Primary Classification: 5 Other  
Activity Code: 600 Health Other

Primary Classification: 5 Other  
Activity Code: 990 Other: Public Buildings

A PCV and hospital administrator obtained \$380 from SPA to help screen off open areas around the hospital's food preparation and delivery area. The SPA funds proved to be insufficient to buy

all the screening necessary, but the hospital eventually provided enough funds to finish the job. Three years later, the screens are falling into disrepair and administrators indicated that there are currently no plans to replace or repair them.

Primary Classification: 1 Food Production  
Activity Code: 100 Small Animal Husbandry

An association of community groups used \$2,900 of SPA funds to revive a dormant animal production center by repairing the facility and buying an original flock of 2,000 birds. The local PCV worked with a government veterinarian to provide needed technical assistance. The project is ongoing, but is somewhat less successful than anticipated because input costs have risen and the price for chickens has dropped.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 300 Gardens

Primary Classification: 1 Food Production/Income Generation  
Activity Code: (No code) Agricultural Demonstration Plots

SPA provided \$515 to help a PCV and a community agricultural teaching center build a series of demonstration plots. The center's staff had noted that local farmers were not using contour farming, nor were they incorporating available organic materials into the soil, both of which practices would have prevented the soil depletion and erosion that was occurring. The demonstration plot combined the use of contour farming, companion planting, organic fertilizer, and agroforestry to improve soil condition and the bean yield. The demonstration plots obtained only modest yields due to a local drought, and the demonstration has not yet influenced local soil husbandry practices. All project members, however, are confident that the farmers will eventually adopt the techniques used in the demonstration plots.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 350 Food Production/Trees

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 350 Food Production/Trees

In this ongoing project, a PCV and community group obtained \$900 from SPA to build an agroforestry nursery, which the community group is planning to manage. The nursery is expected to produce 30,000 seedlings a year, to be distributed amongst five local community groups to encourage income generation and soil conservation activities. The project had been approved several months before the evaluation, but USAID was withholding disbursement until Peace Corps had accounted for other SPA project funds. The PCV provided his own funds to minimize delays

and anticipates reimbursement soon. Community support for the project has been dampened, but not destroyed.

Primary Classification: 6 Health  
Activity Code: 500 Water Sanitation and Supply

SPA provided \$530 for an ongoing project managed by a women's group with technical assistance from a health PCV. The PCV has introduced a homemade water filter, made from local materials, to be used with chlorine. The PCV has demonstrated how to make the filters, while local government health agents have conducted health sessions on the benefits of drinking clean water. The project is too new to discern any impact the project may be having upon the community.

Primary Classification: 6 Health  
Activity Code: 990 Other: Public Buildings

A PCV and orphanage are using \$1,190 in SPA funds to upgrade the hygienic standards of the orphanage's kitchen area, so as to improve the health of the 130 children and 40 staff members whom it serves. The PCV has remodeling experience, which will be useful in supervising and training some of the children in these skills.

Primary Classification: 6 Health  
Activity Code: 600 Health Other

A health PCV and hospital director requested \$1,580 from SPA to supplement local government funds for furnishing a milk bank and breast feeding clinic within an existing hospital. The clinic encourages mothers to continue breast feeding in order to reduce inappropriate use of formula.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 280 Small Business Development

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 230 Income/Vocational Skills

With a SPA grant of \$500, a PCV designed and conducted a sewing workshop for groups of community women. The objective of the workshop, which was based on a UNICEF plan, was to increase the income of these women through the production and marketing of stuffed toys and baby clothes. The activity ended with the training, since specialized raw materials were not available locally, and the marketing aspect of the project was not researched or well developed.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

Farmers in a community got together to improve their flower production for local markets and learn terracing techniques with the help of a PCV and local extension workers. The group received a SPA grant for \$7,578 to conduct this work. The project has taken more than a year to conduct; however, the Volunteer associated with the project believes that going slowly has enhanced the project's potential for success and sustainability. Although the project is still in progress, participating farmers have increased the variety and quantity of flowers they are producing for existing markets, and some farmers have adapted the terracing to their steep farm land.

Primary Classification: 4 Energy  
Activity Code: 410 Improved Cookstoves

A PCV and some school teachers requested \$100 to fund a demonstration project for a wood-conserving stove. The demonstration was successful, and the introduced stove has been adopted by members of the community. Owners of the improved stoves find they save time and money and reduce wood consumption in their households.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

A tailors' cooperative, working with a PCV, received a SPA grant of \$2,775 to buy the sewing machines they needed to increase the variety and quality of products they made for sale. The machines enabled the cooperative to grow and expand, which they had long desired, but were unable to achieve. By coordinating training and inputs from other organizations with the PCV's input in helping the cooperative to modernize its business, the cooperative has been able to increase the number of employees at the factory and produce high quality clothing at competitive prices.

Primary Classification: 3 Food Production  
Activity Code: 300 Gardens

A PCV and a school principal wanted to start up a school vegetable garden. To this end, they requested and received \$200 from SPA, as well as agricultural inputs from a government agency. The school of 70 students has been able to grow sufficient vegetables to supplement their diets, while the students learned improved horticultural practices from the PCV.

Primary Classification: 6 Health  
Activity Code: 610 Health Education

A health PCV, while on an information gathering tour of outlying health centers, noticed that primary health care workers did not have any educational resources to which they could refer to support training sessions. The PCV received \$300 from SPA to purchase and distribute 26 copies of two health education texts. The books were received and eventually distributed, and are being used.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

A school and a PCV used \$750 in SPA funds, along with their own resources raised through community fundraising activities, to begin an egg production project. They succeeded in adding eggs to the school meals, financing school activities, teaching responsibilities of poultry care to the older children, providing less expensive eggs to the families of school children, and making compost for the school garden. The school has begun a second year of egg production. This year they had to borrow the money to purchase the chickens since they had no plan for saving part of their income from the previous year.

Primary Classification: 6 Health  
Activity Code: 560 Latrines and Toilets

This ongoing health project received \$2,500 from SPA to refurbish a government facility that produces reinforced cement latrine tops. A revolving fund, derived from profits generated from the sale of latrine tops, will be used to purchase cement and some tools and equipment. The project's purpose is to complement host government efforts to encourage the construction and use of latrines. A PCV helped to design and manage this project.

Primary Classification: 3 Food Production  
Activity Code: 200 Cooperatives/Business

An agricultural cooperative received \$10,000 from SPA to finance part of a larger pilot project designed to introduce improved potato production techniques to a region which was dependent on cotton as its sole cash crop for export. The funds were used to subsidize the purchase of improved seed from C.I.P., as well as other inputs such as fertilizer and pesticides. The project was introduced to the SPA committee by a USAID staff member. Upon approval, a PCV was assigned to provide technical assistance, in collaboration with government agricultural officers and technicians from international funding agencies. Production goals were met, but low potato prices undercut some of the economic benefits accruing to the farmers.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 270 Revolving Credit Funds

A foundation wrote a large proposal for the support of street children, which IAF funded except for the proposed revolving loan fund. The foundation approached Peace Corps, who agreed to fund the work with a SPA grant. \$10,000 in SPA funds will be used to establish a revolving fund for loans to families of street youth. The local group and PCV will train families to begin or improve income producing activities in order to reduce the danger of the children becoming street people.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

An agricultural supply store project received \$5,366 to fund the purchase of a variety of tools, seeds, other supplies and educational material for the initial stocking of the store. The store has been able to provide low cost inputs to local farmers, while providing practical business experience for students at a nearby school. A PCV helped design the project, and assisted in its management during its first year.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

A cooperative of 280 members and a PCV Small Business Advisor decided jointly to initiate a savings promotion campaign by providing incentives to co-op members to open accounts with the co-op. The incentives and promotional campaign were partially funded by \$188 from SPA, while technical advice was provided by the PCV. The project's success exceeded expectations, with savings account membership increasing by over 100 percent, new credit services being established due to increased revenues, and a jump in overall cooperative membership.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 990 Other: Public Buildings

A PCV and an agricultural cooperative received \$5,000 from SPA in order to construct a central market building in a community. The building would enable local farmers to market their produce better, thereby encouraging agricultural production and improving the economic climate in the area. A second PCV provided

technical assistance during the construction phase. The original funds were exhausted before construction was completed because the co-op treasurer paid upfront for inferior quality materials and the co-op could not force the contractor to reimburse the group. The treasurer acted against the express directions of the co-op committee. The PC staff, upon investigating the situation, agreed to an amendment of \$2,240. Construction was completed.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 300 Gardens

Primary Classification: 1 Food Production/Income Generation  
Activity Code: (No code) Crop Trials

A PCV wished to encourage smallholder farmers to adopt planting of hybrid corn varieties by providing a group of seven farmers with free seed and fertilizer bought with \$155 of SPA funds. The farmers' yields were better than with traditional varieties; however, yields were low in comparison to potential due to uneven rainfall, and poor seed quality resulted in equally poor germination rates. The farmers conducted their own informal cost-benefit analysis and found that the hybrid seed would not be worth their personal investment in the future.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 240 Market Access

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 990 Other: Public Building

A cooperative asked a PCV to help them develop the concept of a warehouse for their goods. The SPA program provided \$3,490 to fund the construction of the warehouse, in which the cotton and grain harvests of the 240 members are consolidated and stored. The warehouse allows them to sell these commodities in larger quantities, and to time the sales to obtain the best possible price. The warehouse also provides a place for the distribution of seeds, fertilizer and other inputs for farming, which can be purchased in volume because of the distribution center. The warehouse has operated successfully for three years, and is able to cover all recurrent costs.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

A cooperative group that had been cultivating soya and corn sought to increase nutrition and income by feeding these products to chickens. They elected a three person committee, and asked a PCV to help with the idea. The SPA fund provided \$3,540 for the construction of two chicken coops and initial supplies for

raising chickens. This is a community effort by the 16 families who are members of this group. For each cycle, half of the grown chickens are sold to cover costs and half are distributed to member families, either for consumption or to provide income through sale. The original plan to sell eggs was dropped when low egg prices nullified profitability.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 100 Food Production/Animals

A 4-H Club received a \$10,000 grant to begin a turkey production project in cooperation with a PCV. Earlier, a previous PCV and a technical consultant had done a feasibility study and identified the 4-H club as a good group for this project. The technical consultant made several visits to the project at different stages of production to teach and monitor skills in turkey production. Production levels were excellent, and the group acquired orders from local hotels for all their turkeys. An influx of cheaper turkeys from the United States at the moment of marketing destroyed the market for the 4-H club. Problems with slaughter and cold storage (which may be corrected) also diminished the quality of their product. The club members re-evaluated their project, and now plan to produce chickens, for which there is a more stable local market that is protected by import restrictions. They will use the income they made from the turkeys to finance the chickens.

Primary Classification: 6 Health  
Activity Code: 560 Latrines and toilets

A primary school working with a PCV received a SPA grant of \$2,048 to repair and replace the school toilets, which were no longer operable. Initially the school director and PCV planned to offer training in plumbing for community members, but this did not prove feasible in practice. The school children, who do not commonly have toilets at home, receive hygiene lessons and instructions on proper use of toilets on a regular basis. The toilets are currently maintained in good condition by the school.

Primary Classification: 4 Energy  
Activity Code: 400 Energy

A University's Appropriate Technology Department and a PCV planned to conduct a hands-on application of shallow solar pond technology to: (1) provide a learning experience for their advanced energy students, (2) to supply hot water to the men's dormitory, and (3) to implement a technology which the department might be able to market locally. Funds to conduct this activity were inadequate, especially with respect to the availability of U.S. dollars with which to buy the necessary equipment from the United States. They acquired a SPA grant of \$3,899 to cover

these costs. Delays in receiving the equipment meant that the training objective for students was no longer possible. Marketing has also proven not to be feasible, since the location of the shallow solar pond on a roof places it out of sight and easy access. Hot water is supplied to the men's dormitory on a more or less regular basis, and the project has served as an ongoing problem solving tool in solar energy for the faculty members still interested in pursuing the original objectives of the project.

Primary Classification: 6 Health  
Activity Code: 600 Health, Other

Primary Classification: 6 Health  
Activity Code: 610 Health Education

A national private voluntary organization (PVO), working in cooperation with a series of PCVs, received a SPA grant of \$3,667 to create satellite centers for high blood pressure treatment (a serious national health problem) and CPR training using mannequins and other equipment, and to develop a resource center for information on heart disease, hypertension and lifesaving techniques. The project was scaled down, as it became clear that the satellite centers were beyond the capacity and resources of the project and the PVO. Two Volunteers are currently working full time giving CPR workshops using the equipment purchased with the SPA grant, and the resource center has been established. The project is currently awaiting the arrival of some additional materials, and the PCVs are planning a technical assistance proposal to train trainers to replace the PCVs.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 280 Small Business Production

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: (No code) Agricultural Production: Flowers

\$2,340 of SPA funds were provided to help a children's home buy the basic inputs to start growing ornamental flowers. The project was to be run by the children as an income generating project. The home's director and a PCV identified local technical experts, who pledged to provide their support during the project's implementation. The project was able to generate only enough income to break even during its first year because local technicians reneged on their commitment and the children and PCV had to progress through trial and error. The PCV has completed her period of service; however, the home's director is confident that the second growing season will be more successful, as the group will be able to build upon their experience from their first year.

Primary Classification: 1 Food Production, Income Generation  
Activity Code: 300 Gardens

An agricultural professor and an agriculture PCV collaborated to design a food production/income generation project that received \$185 from SPA. This ongoing project is designed to provide agriculture school students with practical agricultural production and marketing skills and experience, as students must grow and market their own vegetable crop. The project managers believe that it will be able to generate sufficient funds to continue operating.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 270 Revolving Credit Funds

A PCV and a USAID employee living in the same community conceived of a revolving loan project to help the community council meet its economic goals of providing jobs for residents and covering its own administrative costs. SPA funds provided \$4,690 as part of a revolving fund designed to provide seed capital of not more than \$200 per loan for small businesses. The fund has been administered by the local council. Loan recipients also receive training in funds management, and are expected to repay the principal and 14 percent interest. The fund was dormant at the time of this evaluation due to low repayment percentages and because the administrator appears to have misappropriated some of the funds.

Primary Classification: 3 Food Production  
Activity Code: 300 Gardens

A group leader, agricultural technician, and PCV collaborated to initiate a model garden for a YWCA children's group. The group used \$1,500 from SPA to buy garden tools and fencing to provide a practical setting to teach gardening techniques, to supplement the children's diets, and to draw a link between gardening and nutrition (health). The project eventually collapsed due to lack of interest after the PCV's departure.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: (No code) Capital Equipment

Two PCVs, working with a local university publishing group, obtained \$6,380 from SPA to purchase a laser printer as part of a desktop publishing system. The PCVs and editors of the publishing unit felt that the university needed to be able to increase its output of academic articles in order to maintain and increase its international standing. The printer was purchased, as was the publishing packet, and the group is able to cover operating and maintenance costs with its output. A problem with

the project is that the publishing group does not have the technical capacity to operate the systems, so they rely on the PCVs for this function.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

The community planned and implemented a chicken project with the help of \$1,230 from SPA and assistance from a PCV and APCD. They built a chicken coop to house 200 chickens that are now reaching peak egg production. The PCV acts as the project facilitator. The local management committee has successfully dealt with an outbreak of a flock threatening disease and a 20 percent increase in feed prices.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 200 Cooperatives/Business

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: (No code) Capital Equipment

A small knitting business, organized and supported by a church, needed two additional knitting machines to produce a wider variety of sweaters. A PCV working with the group acquired a SPA grant of \$1,003 to purchase the machines. The result of the purchase was an increase in the number of employees in the group and the production of sweaters with more detailed design for sale.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 530 Irrigation and Pumps

A group of women and their coordinator, who had been gardening for their own support for some time, worked with a PCV to install an irrigation system which would allow them to increase their production year round and produce vegetables in the dry season for the first time. Although there were technical problems with their design, the SPA grant of \$5,303 and the group's additional 25 percent cash contribution allowed them to achieve their objectives. This project is currently the only source of vegetables in the dry season and is financially independent.

Primary Classification: 6 Health  
Activity Code: 540 Water Catchment

A community supported youth polytechnic school is in the process of addressing a water supply problem with \$965 of SPA funding. The project was initiated by the school manager, a PCV, and a school instructor. As originally planned, three tanks with a

total water-holding capacity of 25,000 liters were to be built, but the project in its present design configuration will provide 30,000 liters of potable water for the school when complete. The project has encountered few problems other than supply bottlenecks. The PCV might end his service before the project is completed, but the community seems capable of finishing construction and maintaining the tanks in his absence.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 700 Food Production/Fish

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 160 Integrated Production

A fisheries PCV designed and integrated a duck and fish project for food production and income generation for a youth group. A SPA grant for \$987 was acquired and used to buy the inputs. A supporting agency contribution of 25 percent was made as well, to cover the eventual costs of labor for the construction of the fish pond. Little interest in this project was exhibited, perhaps in part because the project was located on private property. In addition, while the project was designed to be self-sufficient in operation, from the beginning little consideration was given to the feeding of the fish and ducks. The ponds and some of the ducks are still present at the project site, but there are no activities being conducted by the group, nor are fish being raised.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 140 Bees

This project was intended to help a school produce honey for the support of its students. The project was initiated, designed, and implemented by the PCV, with funding of \$425. The school had little success in honey production on and around its grounds, because pesticide application on the local coffee crops drives the bees from the hives. The headmaster of the school where the project is located is contemplating renting out the hives to farmers who own fields where pesticides are not used.

Primary Classification: 6 Health  
Activity Code: 540 Water Catchment

A primary school and a PCV designed a rainwater catchment system which was financed with a SPA grant of \$1,019. Two 7,000-liter tanks were constructed and are supplying the school with water for drinking and other activities. The sanitation of the water and the tanks themselves are very well maintained. The project also provided the opportunity for local skilled masons to learn and practice ferro-cement techniques which they can use in other income generation activities.

Primary Classification: 6 Health  
Activity Code: 540 Water Catchment

A school master and a PCV have worked together to seek funding for a water catchment system for the school. A SPA grant of \$736 (75 percent of the costs of the project) has been approved. The additional 25 percent of the costs will be met through the school's operating budget. Implementation will now take place.

Primary Classification: 4 Energy  
Activity Code: 440 Renewable Resources

This was a "seed capital" project funded for \$1,034 of SPA funds. A PCV purchased basic tools (shovels, rakes, watering cans, etc.) to distribute to 26 groups with whom he had been working on agroforestry activities. He wanted to encourage each group to expand nursery operations by providing each group with up to two of each tool. Half of the sample of groups visited during the evaluation had expanded their agroforestry operations dramatically, and had diversified their activities; the other half of the groups had disbanded.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 300 Gardens

The 250 teachers and students of this school had been trying unsuccessfully for three years to produce vegetables in a school garden plot before SPA made \$845 available to buy fencing and tools in 1985. Since then, the students have fresh vegetables with their noon meal for six months of the year. The school uses the garden for the practical education of its students and is able to produce a surplus that is sold to cover operating costs. The project was designed and managed with the help of a PCV.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

A particularly energetic high school headmistress and staff designed a poultry and egg production project after visits to local agricultural extension agents and local demonstration poultry projects. A PCV, who was teaching at the school, was able to obtain \$2,016 from SPA to help fund this project. With this money they built a coop that houses 500 chickens each year. The project has been in existence for three years and is self-sufficient. The flock provides protein for 150 students' lunches, revenue for other school projects such as the purchase of more land for agriculture and a dairy cow, and an inexpensive source of eggs for the surrounding villages.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 230 Income Generation/Vocational Skills

A PCV working at a commercial high school received \$2,900 to buy a personal computer and software to help the school establish an accounting training course and a workshop to train students in accounting. The ongoing project has run into difficulties because teachers are much more interested in learning about PCs than in teaching the students about using accounting software. The introduction of the computer has created a demand that cannot be satisfied, resulting in tension among the staff. In addition, it has put pressure upon the students to conduct training sessions. The school administration and PCV are considering strategies for addressing the problem in order to make the computer available for its original purpose.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 100 Food Production/Animals

Members of a women's cooperative traveled to a regional center to ask the Community Development Institute (CDI) for help in developing an income generating activity. The CDI official put a PCV in touch with the group. All three actors agreed to follow a needs analysis process that resulted in a poultry and egg production project, partially funded by \$7,340 from SPA. The project has generated sufficient profits to pay for a first replacement flock, pay all input costs, and pay each of the group's 30 members a monthly salary. The women's group is now contemplating new income generating projects to be financed by the proceeds of this project.

Primary Classification: 2 Income Generation  
Activity Code: 200 Cooperatives/Business

A PCV was presented with a project to establish a handicrafts center at a school by the school's (and PCV's) headmaster. The PCV requested and received \$7,175 to buy sewing machines and startup yarn so school students could learn an income generating skill. All elements of the project are in place in this ongoing project, but students have not manifested an interest in learning how to sew and are not attending class.

Primary Classification: 5 Other  
Activity Code: 560 Latrines and Toilets

Primary Classification: 6 Health  
Activity Code: 560 Latrines and Toilets

A PCV and school principal collaborated on a latrine project that was funded with the help of \$1,360 from SPA. The project bought enough material to build ten latrines at the school and adjacent

clinic. The PCV introduced masonry students to ferro-cement construction as part of the project. Due to time constraints, (the PCV's close of service date) only four of the ten latrines were built. The latrines are being used and the four masons are now capable of building with the ferro-cement method.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 540 Water Catchment

Primary Classification: 6 Health  
Activity Code: 540 Water Catchment

A PCV and school principal collaborated to use \$981 to construct three ferro-cement water catchment tanks for the school's drinking water needs and to irrigate a vegetable garden. The PCV invited 15 other PCVs and counterparts to participate in the construction of the tanks, and in the process to learn how to build ferro-cement structures. Only two tanks were built, but they supply clean water for eight months of the year for over 700 students and have been maintained according to the PCV's schedule.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 990 Other: Greenhouse

A PCV conceived of building a greenhouse to increase the vegetable growing season by several months. With \$385 from SPA, the PCV built the greenhouse and convinced the principal that students should work in the greenhouse as part of their practical work. As a result, students now eat vegetables grown in the greenhouse with their lunches for most of the year, and market those not used in the lunch program. Profits have gone to defray expenses for needy students. Local officials like the greenhouse but do not feel that they would be able to replace it when required because they lack the technical competence.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 350 Food Production/Trees

A women's group and a PCV planned an integrated project to meet the village's gardening needs. The group used \$1,262 from SPA to help pay to have a fence put around their communal vegetable garden, to have the well deepened and lined, to have grafted fruit trees planted inside the fence, and to buy a cow drawn cart to facilitate marketing the harvested vegetables. The women were able to organize themselves to put up the fence, plant the trees, and help the well digger deepen the well. However, the cow cart has become the exclusive property of certain members of the group, causing friction within the group.

Primary Classification: 4 Energy  
Activity Code: 500 Water: Sanitation and Supply

Primary Classification: 3 Food Production  
Activity Code: 500 Water: Sanitation and Supply

A task force of six village elders organized and requested \$665 from SPA, through a local PCV, to help deepen and line two wells. All aspects of the project followed traditional lines, in that the village elders defined tasks to be completed and insured quality control. The two wells were deepened and lined, which resulted in more water being made available to the village. The wells are currently used to water tree nurseries.

Primary Classification: 2 Small Enterprise Development/Income Generation  
Activity Code: 260 Food Transformation

A women's group, with the help of a PCV, received \$2,700 from SPA to buy a millet grinding machine. The project had two objectives: to reduce the amount of time the women devoted to food preparation, and to generate income by charging a nominal fee for women in the region to use the machine. The women have increased their organizational skills and are able to maintain the machine; however, they are not interested in the simplified accounting system suggested by the PCV and local government officials.

Primary Classification: 4 Energy  
Activity Code: 440 Renewable Resources

A forestry PCV collaborated with her Ministry of Forestry counterparts and village officials to identify four village tree nurseries that could best use inputs purchased with \$511 from SPA funds. One component of the project was a locally produced pot press designed to reduce expenses and dependence on plastic inputs. All four nursery substations were established; three are still operating, and produce 6,000 trees per planting season.

Primary Classification: 6 Health  
Activity Code: 560 Latrines and Toilets

Six months of community analysis and needs assessment efforts by a community development group and a PCV resulted in a plan to build 38 cement-lined latrines, for which SPA granted \$770. The project combined building one latrine per compound with health education classes concerning the need to break the oral/fecal infection cycle. The scale of the project proved to be too large, and the number of latrines actually built was reduced to eighteen. Each compound participated in the health classes.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 510 Wells, Construction

A village, wanting to expand their gardening activities, followed through on their idea to dig and line a well. A PCV helped to design and execute the plan. The men's group was the driving force behind the project, as they were experienced in conducting cooperative community activities. This project has been funded for \$2,685, which will pay 50 percent of the costs of digging and lining the well to supply water for a cooperative garden. The village of 250 people should benefit from having vegetables to supplement their grain based diet, and from the extra income generated by the marketing of fruits and vegetables.

Primary Classification: 6 Health  
Activity Code: 600 Health, Other

Primary Classification: 6 Health  
Activity Code: 930 Public Buildings

Local health officials, a village health committee, first aid workers, and a PCV set up a management committee that would maintain a village health hut. The health committee received \$2,850 to help finance the construction of the health hut where they planned to conduct an anti-malaria education campaign and provide first aid services. The hut has been built in this ongoing project, but has not yet been put to use.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 260 Food Transformation

After a village women's group and a PCV conducted a community analysis and needs assessment, they decided to buy a millet grinding machine to reduce the time women must spend preparing food and to generate income for other projects. The group requested and received \$2,800 to help pay for the machine. They have built a house for the machine, hired a miller, and established a management committee to ensure that the machine is maintained and profits are accounted for. The machine had been in place for one day when the evaluation was conducted, and spirits were high.

Primary Classification: 3 Food Production  
Activity Code: 510 Wells, Construction

A women's group, with the help of a PCV, received \$3,427 from SPA funds to help pay for a well digger and fencing to establish a cooperative vegetable garden. The women's co-op was able to generate over 50 percent of the funds needed to have the modern well dug and the fence purchased and put in place. The vegetable season has not yet started, but the group is encouraged by their success and is contemplating other cooperative efforts.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 500 Water Sanitation and Supply

A PCV worked in cooperation with three communities to build a dam across a small river. The initial planning for this innovative work began in December 1986; the project was funded in April of 1987 with a SPA grant of \$4,516 (used in combination with community money and funds from the local government community development organization). The goals of the activity were to implement a new technology in river damming, with a weir to raise the water level for agriculture behind the dam, as well as to train technicians in this technology for future applications and income generation. The project achieved these goals, as well as a school well and a garden project. The dam continues to function; water release doors will be added this year for more effective water control. Rice production and gardening behind the weir have increased.

Primary Classification: 5 Other  
Activity Code: 510 Wells, Construction

Primary Classification: 6 Health  
Activity Code: 510 Wells, Construction

A PCV and a community collective action group worked to build a new sanitary well in the village for clean drinking water, and to add water troughs for cattle at a well outside of the village. They received a SPA grant of \$2,426 in March of 1985 and, in combination with village cash and in-kind contributions, built both the well and the water troughs. Cattle are watered at both wells during the dry season, with the new well watering 300 cattle per day at that time of year. Clean household water is currently drawn from two bore holes with hand pumps, which were put in place after the project was completed.

Primary Classification: 2 Small Enterprise Development/Income Generation  
Activity Code: 230 Income/Vocational skills

A national association for the physically handicapped and a PCV designed a project to train handicapped girls to sew and market items such as lab coats for government medical technicians. A SPA grant for \$9,740 (October, 1986) was used for capital equipment. The association provided staff and administrative support as well as the building and electricity, and the national government provided a social worker/trainer. They were unable to produce a marketable garment, and the five girls being trained returned home. The capital equipment is in storage and the association is interested in finding a trainer with better skills to begin the project again.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 510 Wells, Construction

A community requested the help of a PCV in constructing a well in their community garden. A SPA grant of \$553 and community contributions in cash and in-kind initiated the project in September 1985. The technology used was new for the area, and the skills were transferred to those working on the project, who have since constructed other wells. The increased water supply allowed for an increase in garden produce and a concomitant increase in income for the community (an extended family of 150 members). Since the SPA funded well was constructed, the community has built another well and plans a third as they continue to increase their garden production for sale.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 500 Water: Sanitation and Supply

A PCV has been working with a village to build a cement weir to increase the water supply, thus enabling increased agricultural production. The village was active in the design and building of the weir, and is currently evaluating the effectiveness of their work and its impact on agricultural production. A SPA grant of \$2,084 was awarded to the project and was used in conjunction with community cash and in-kind contributions. The project was funded in March of 1988, and has achieved its work through the construction phase and the training of apprentices in the construction of weirs.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 160 Integrated Production

A PCV planned to establish a multi-animal demonstration project with \$554 of SPA funds. The demonstrations were intended for the benefit of subsistence farmers. A combination of personal and political problems caused the PCV to leave the project earlier than anticipated; therefore, the project was never implemented and the funds were returned to SPA.

Primary Classification: 6 Health  
Activity Code: 510 Wells, Construction

A PCV and an agricultural extension agent worked together with two villages to construct two deep wells to supply water year round. A SPA grant of \$2,557 was used in addition to the cash and in-kind contributions from each village. The work began in April of 1986. These are the only hand dug wells that have water year-round, though bore holes with hand pumps have been installed since the project was completed. Villagers still prefer the taste of the water from the hand dug wells, watering their cattle mainly at the bore holes and at the wells only as necessary in one village. In the other village, the well waters about 300

head of cattle per day during the dry season as well as providing water for some households. The health education aspect of the planned project was never achieved and the water quality at the wells is poorly maintained. In both cases the villages see the tops of the wells as temporary expedients to be improved at a later date, and do not keep the wells covered.

Primary Classification: 6 Health  
Activity Code: 600 Health, Other

Primary Classification: 6 Health  
Activity Code: (No code) Capital Equipment

A SPA grant of \$521, community cash, and in-kind contributions were used by a PCV and a health care clinic to buy needed equipment. The clinic had been built as a maternity and was staffed, but had no furniture or equipment. The purchases were completed in June 1986; the maternity continues actively to provide childbirth assistance and prenatal consultations for three villages.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 340 Food, Other

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 510 Wells, Construction

A community group and a PCV designed and built a deep well just outside their village, where the women of the village planned to garden communally. The work began in April of 1985 and took two years to complete due to delays in getting supplies. The work was financed by a \$3,370 grant from SPA and by community funds. In addition, some money for cost overruns was contributed by the PCV. The well was completed and has been used to water cattle during the dry season; millet is grown in what will later be the gardening area. The women of the village plan to begin their gardening activities around the well with the next growing season. Last year they were busy with other communal activities and were not able to begin. Skills transfer in well construction was also achieved.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 500 Water: Sanitation and Supply

Primary Classification: 6 Health  
Activity Code: 500 Water: Sanitation and Supply

A PCV is currently working with three communities to help improve their water sanitation and related health through new and improved wells, health education, and well maintenance. A SPA grant of \$2,489 is being used in conjunction with community cash and in-kind contributions. The project began in November of 1987

and has achieved eight of the ten planned wells, training of well-digging teams (who are now earning income practicing these skills), and some health training. In the following year more emphasis will be placed on health training and well maintenance for sanitation.

Primary Classification: 5 Other  
Activity Code: 990 Other: School Construction

A project to build a two-room school building to house a special education program was funded for \$3,500. The school, the government department of education, a private foundation and a PCV developed the concept. A second PCV implemented the project after the medical evacuation of the first Volunteer. The deaf students, who had received instruction in an *ad hoc* fashion in the school library, now hold class in the improved and stable environment of the new classrooms. These classes now serve as a model special education program for other schools. The number of students has increased, and support from government and the private sector has also grown.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 350 Food Production/Trees

Three PCVs are collaborating with various government agencies and village groups to use \$3,171 provided by SPA to encourage local tree production for income generation purposes. The PCV team had developed this project to respond to the local farmers' expressed need for more rapid income generation from wood lot production. The project is trying to train the farmers in orchard management, as well as to provide them with high quality seedlings. The team has found that the project design was too ambitious, and are trying to reduce its scope. They are currently focusing on the distribution of seedlings.

Primary Classification: 6 Health  
Activity Code: 500 Water: Sanitation and Supply

A rural community and a PCV worked together to improve and extend a potable water system through the community and to the school with a SPA grant of \$3,467. The community formed a water association to build and maintain the system through labor, meetings, and user fees. The water system and the association were the first of several water systems in the area, and were a planning resource for other systems. While the water system is still working, the flow of water has greatly diminished and the private maintenance of individual tap stands is poor. The community has also not followed through on planned reforestation for the watershed of their water system, since the local government has said that it will conduct this activity.

Primary Classification: 6 Health  
Activity Code: 550 Gravity Water System

A small, remote village composed of an ethnic minority used \$305 provided by SPA to tap and deliver clean spring water for the entire village. The PCV and his host country supervisor designed a technologically appropriate spring box and pipe system which was built by the members of the newly formed village water association. The system has been maintained by the association for two years and has successfully met its primary objectives: to provide potable water, thus reducing infant deaths related to diarrhea.

Primary Classification: 5 Other  
Activity Code: 500 Water: Sanitation and Supply

Primary Classification: 6 Health  
Activity Code: 500 Water: Sanitation and Supply

A community received \$1,253 to bring water to sealed pit latrines and to repair and construct wells with water pumps for 23 action groups (108 households). The community worked in cooperation with a PCV and a city planning representative. A five-man team performed all the skilled labor, learning construction and maintenance skills that they have been able to market since the project was completed. Twenty-three wells were dug, drilled and/or rehabilitated, providing water for drinking, bathing, toilets and other household uses. At the time of the visit (two and one-half years later), seven of the 23 wells were in good working order.

Primary Classification: 3 Food Production  
Activity Code: 530 Irrigation and Pumps

A farmers' group used \$450 provided by SPA to shore up a section of a village canal that connected a year-round stream with the village's field. The PCV acted as a technical advisor to show new cementing techniques that would increase the life of the repaired section of the canal. The canal was repaired and the farmers' fields continue to be irrigated.

Primary Classification: 2 Small Enterprise Development/Income Generation  
Activity Code: 990 Other: Public Buildings

Primary Classification: 6 Health  
Activity Code: 990 Other: Public Buildings

SPA provided \$9,941 to help a community group and a PCV establish a hospice for terminally ill, neglected and abused children. Part of the funds were spent to locate and renovate a facility to house the children. The rest of the money has been earmarked as

a start-up fund for income generating activities such as craft production, small-scale garment activities, and poultry production. The center has opened and is accepting children referred to it by local health groups. The scope of the income generation activities has been reduced after initial disappointments, but activities are still ongoing.

Primary Classification: 6 Health  
Activity Code: 500 Water: Sanitation and Supply

A community group sought and acquired financial assistance from SPA in the amount of \$3,083, to continue building a community water delivery system which had been started with funding from the Dutch Embassy. The project was principally conducted by the community with oversight by the PCV, until the PCV ended her term of service. A monsoon washed out the progress they had made with the water system at one point, and the community awaits the new dry season to recommence their work. Materials purchased with project funds are not evident, and there are currently technical difficulties with the construction plans, which have been upgraded to more expensive materials several times. There is currently no oversight on this project.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 700 Food Production/Fish

\$1,200 was provided by SPA to build a small spawning station to be operated by a village youth group that had already undertaken a variety of self-help projects. The PCV and the youth group had proven their interest in development work by building a water catchment system and by producing footwear from used tires. The village made land and money available to supplement the construction and stocking of the station. The station was built and stocked, but the group is having trouble maintaining the water levels in the pond due to the selection of an inappropriate pump. The group, however, has learned fish spawning techniques and is working to find an alternative pump.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 530 Irrigation and Pumps

A school has used the \$560 provided by SPA to purchase a submersible electrical motor pump to provide clean water for students year round, to irrigate a school garden plot used for lessons, and to generate income for school lunches. The villagers and school generated funds to buy piping for the water system, which was designed by the PCV. The system is now providing potable water for the school and is irrigating a fruit orchard and vegetable garden. All production goals have been met.

Primary Classification: 3 Food Production  
Activity Code: 350 Food Production/Trees

A project, identified by a PCV's counterpart, to install a mist irrigation system at a local 4-H club, was funded for \$286. The project was ostensibly for training and demonstration purposes, but the mist irrigation system was claimed by a local agricultural officer, who currently uses it for growing flowers in his own garden. The irrigation system works, but neither group production nor demonstration goals have been met.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: (No code) Cattle Production

After working with a PCV on fish ponds as an income generating activity, the community proposed a revolving income scheme based on cattle production. The community combined income from the fish production with \$260 from SPA, and used the money to purchase four heifers. The nature of the revolving income scheme was never defined, and has not been practiced to date. The project is still in progress.

Primary Classification: 6 Health  
Activity Code: 540 Water Catchment

Community members, a local water technician, local authorities and a PCV designed a project for the construction of four ferro-cement water tanks in four villages in a remote district. SPA provided \$880 for this activity. Water catchment systems are needed because local ground water has a high mineral content and is not potable. Local technicians and villagers were not familiar with ferro-cement construction techniques, so the tanks will also serve demonstration purposes. The four tanks have been built and are in use. The PCV is currently monitoring how well the tanks' maintenance schedules are being followed.

Primary Classification: 6 Health  
Activity Code: 160 Integrated Production

A PCV working in nutrition helped a community obtain SPA funds of \$770 to build a large chicken coop and dig a fish pond to provide food and income for a local school. The school, villagers and the PCV collaborated in the execution of this project to improve the children's nutrition and to provide a lasting source of funds for the school. The pond and coop were both built and have been managed effectively; funds have been generated to replace the flocks and stock the pond. As fish culture provides a better return, the school teachers are planning to concentrate their efforts there.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 990 Other: Bridge

A PCV helped a community group achieve their goal of building a bridge by providing some organizational support and \$4,540 from SPA. The bridge was needed to provide access for a community of 400 to a larger community and its services. The community group was successful in organizing direct beneficiaries to provide labor and funds, and in collaborating with local authorities to ensure smooth implementation. The bridge was near completion at the time of evaluation and should revitalize the community.

Primary Classification: 6 Health  
Activity Code: 600 Health Other

Primary Classification: 6 Health  
Activity Code: 990 Other: Public Building

A community health committee worked with a PCV to identify funds from the community, SPA, and the local government to complete a health post the community had started the year before. SPA provided \$2,520 to help roof the facility, which has been completely refurbished. The health post was completed despite difficulties with the government contribution, and the committee learned to plan and implement a project. The health post continues to function, and the committee hopes that the facility will lead to the assignment of a health worker from the Ministry of Health to serve the community of 1,130 and its outlying villages.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 280 Small Business Development

SPA contributed \$7,143 towards a bakery run as a small business by friars with the assistance of a PCV. The bakery would provide bread for the friars' home for street children, income for the home through sales of excess production, and on-the-job training for the children. All aspects of the project have been successful to date.

Primary Classification: 1 Food Production/Income Generation  
Activity Code: 990 Other: Bridge

A PCV was approached by a women's group to help fund a bridge needed to connect a newly established community to local markets and services. Together, the PCV and group were able to acquire a SPA grant of about \$4,900, which went towards the successful completion of the project. In the process, community and local government agencies were brought into close collaboration.

Primary Classification: 2 Small Enterprise Development/  
Income Generation  
Activity Code: 990 Other

Primary Classification: 5 Other  
Activity Code: 990 Other

A PCV designed a series of sewing lessons for 4-H groups in order to provide social occasions for the members and opportunities to learn skills by which the groups could earn money. The groups have learned a variety of sewing skills in the production of specific items such as quilted pillow covers and clothing items. A lack of planning in money management, marketing feasibility and general business skills indicates a small likelihood of success for this project beyond the PCV's close-of-service date. The project was funded for \$600 by SPA.

**Appendix D**  
**PROJECT OUTCOMES**  
**by INVOLVEMENT**  
**of VARIOUS GROUPS and INDIVIDUALS**  
**In PLANNING and MANAGEMENT**

## APPENDIX D

### PROPORTIONS OF PROJECTS WITH SUCCESSFUL OUTCOMES BY INVOLVEMENT OF VARIOUS GROUPS AND INDIVIDUALS IN PLANNING AND MANAGEMENT ACTIVITIES

The series of tables presented in this appendix is concerned with the success of SPA projects as related to which groups or individuals were responsible for various planning and management aspects of the projects. Specifically, each table in the series relates the percentages of projects that were successful as measured by a particular outcome or success variable to the groups or individuals involved with a specific aspect of the project. For example, Tables D-1 through D-5 show for each combination of groups and/or individuals involved with "development of project concept" the proportion of projects that were successful in terms of whether project outcome was as planned (Table D-1), production outcomes (Table D-2), capacity outcomes (Table D-3), project impact (Table D-4), and functioning (Table D-5). In addition to showing the proportions of successful projects for the various groups, the tables also show the total numbers of projects upon which the percentages are based. The percentages which are based on very small numbers (say, under 10) should be interpreted with caution.

Tables D-1 through D-30 are concerned with planning activities, while Tables D-31 through D-50 contain data on management tasks.

The success or outcome variables shown in these tables in volume I (Chapter II, Table I):

- o As Planned
  - This measure is based on whether the project conducted its activities and met its objectives as set forth in its plan.
- o Production
  - Refers to whether the project achieved or produced the measurable outputs as planned in its objectives.
- o Capacity-Building
  - Refers to whether the project met its objectives of enhancing the capacity of project participants to help themselves through institution-building, skills transfer or other means.
- o Impact
  - Refers to whether the project resulted in a desired change in the community or among its residents; that is, did the project make a difference?

o Functioning

- For completed projects, this measure refers to whether the activities, elements, and/or outputs of the project still are functioning or are maintained after the completion of the SPA project. This variable provides a measure of sustainability after withdrawal of U.S. project support.

## PLANNING TASKS

TABLE D-1

### DEVELOPMENT OF PROJECT CONCEPT AND OUTCOME AS PLANNED

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	8
Agency Officials & PCVs	100%	3
Agency Officials	100%	2
Group Leaders & PCV	82%	22
Group Representatives	75%	4
Group	75%	8
PCV	71%	21

TABLE D-2

### DEVELOPMENT OF PROJECT CONCEPT AND PRODUCTION OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	7
Agency Officials & PCVs	100%	1
Agency Officials	100%	1
Group Leaders & PCV	75%	23
PCV	71%	17
Group Representatives	67%	4
Group	60%	5

TABLE D-3

### DEVELOPMENT OF PROJECT CONCEPT AND CAPACITY OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	5
Group	86%	7
Group Leaders & PCV	80%	10
Group Representatives	67%	3
PCV	63%	5

**TABLE D-4**

**DEVELOPMENT OF PROJECT CONCEPT AND PROJECT IMPACT**

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	5
Agency Officials & PCVs	100%	1
Group Leaders & PCVs	79%	14
PCV	70%	10
Group Representative	67%	3
Group	50%	4

**TABLE D-5**

**DEVELOPMENT OF PROJECT CONCEPT AND FUNCTIONING OF THE PROJECT**

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCVs	100%	13
Group & PCVs	100%	8
Group Representatives	100%	3
Agency Officials	100%	2
Agency Officials & PCVs	100%	1
Group	75%	4
PCV	71%	17

**TABLE D-6**

**ASSESSMENT OF THE PROJECT AND OUTCOME AS PLANNED**

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	10
Group Representatives	100%	1
Group Leaders & PCV	88%	85
Group	80%	5
PCV	65%	17
Agency Officials	60%	5
Agency Officials & PCV	50%	2

**TABLE D-7**

**ASSESSMENT OF THE PROJECT AND PRODUCTION OUTCOMES**

	<b><u>SUCCESS</u></b>	<b><u>TOTAL NUMBER</u></b>
Group	100%	4
Group Representatives	100%	1
Group & PCVs	86%	7
Group Leaders & PCV	78%	18
Agency Officials	67%	3
PCV	62%	13
Agency Officials & PCVs	0%	1

**TABLE D-8**

**ASSESSMENT OF THE PROJECT AND CAPACITY OUTCOMES**

	<b><u>SUCCESS</u></b>	<b><u>TOTAL NUMBER</u></b>
Group & PCV	100%	7
Group	100%	3
Agency Officials	100%	1
Group Representatives	100%	1
PCV	50%	6
Agency Officials & PCVs	0%	1

**TABLE D-9**

**ASSESSMENT OF THE PROJECT AND PROJECT IMPACT**

	<b><u>SUCCESS</u></b>	<b><u>TOTAL NUMBER</u></b>
Group & PCVs	100%	6
Group Representatives	100%	1
Group Leaders & PCV	86%	14
PCV	75%	8
Group	75%	4
Agency Officials	67%	3
Agency Officials & PCVs	0%	1

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TABLE D-10

ASSESSMENT OF THE PROJECT AND FUNCTIONING OF THE PROJECT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	9
Group	100%	3
Group Leaders & PCV	92%	13
PCV	86%	14
Agency Officials	75%	4
Agency Officials & PCVs	50%	2

TABLE D-11

GATHERING INFORMATION AND OUTCOME AS PLANNED

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Agency Officials	100%	4
Group Representatives	100%	3
Agency Officials & PCVs	100%	2
Group Leaders & PCV	84%	19
Group & PCVs	75%	4
Group	75%	4
PCV	71%	28

TABLE D-12

GATHERING INFORMATION AND PRODUCTION OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Agency Officials	100%	3
Group Representatives	100%	2
Agency Officials & PCVs	100%	1
Group	75%	4
PCV	71%	21
Group Leaders & PCV	67%	12
Group & PCVs	67%	3

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TABLE D-13

GATHERING INFORMATION AND CAPACITY OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group	100%	4
Agency Officials	100%	2
Group & PCVs	100%	2
Agency Officials & PCV	100%	1
Group Leaders & PCV	93%	15
PCV	67%	12
Group Representatives	50%	2

TABLE D-14

GATHERING INFORMATION AND PROJECT IMPACT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	2
Agency Officials & PCVs	100%	2
Agency Officials	100%	1
Group Leaders & PCV	91%	11
PCV	76%	17
Group	67%	3
Group Representatives	50%	2

TABLE D-15

GATHERING INFORMATION AND FUNCTIONING OF THE PROJECT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	15
Group & PCVs	100%	3
Group Representatives	100%	3
Agency Officials & PCVs	100%	2
Agency Officials	100%	1
PCV	81%	21
Group	50%	50

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TABLE D-16

PROPOSAL PREPARATION AND OUTCOME AS PLANNED

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Representatives	100%	1
Group Leaders & PCV	81%	21
PCV	77%	44
Group & PCVs	75%	8
Agency Officials & PCVs	75%	4

TABLE D-17

PROPOSAL PREPARATION AND PRODUCTION OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Agency Officials	100%	2
Group Representatives	100%	1
PCV	80%	35
Group Leaders & PCV	73%	15
Group & PCVs	50%	6
Agency Officials & PCVs	50%	2

TABLE D-18

PROPOSAL PREPARATION AND CAPACITY OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Representatives	100%	1
Group Leaders & PCV	92%	12
Agency Officials & PCVs	67%	3
PCV	63%	19
Group & PCVs	50%	4

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TABLE D-19

PROPOSAL PREPARATION AND PROJECT IMPACT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Representatives	100%	1
Agency Officials & PCVs	100%	1
Group Leader & PCV	85%	13
PCV	84%	22
Group & PCVs	60%	5

TABLE D-20

PROPOSAL PREPARATION AND FUNCTIONING OF THE PROJECT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	11
Group & PCVs	100%	5
Group Representatives	100%	1
PCV	82%	36
Agency Officials & PCVs	67%	3

TABLE D-21

PROJECT BUDGET AND OUTCOME AS PLANNED

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	5
Agency Officials & PCVs	100%	2
Agency Officials	100%	2
Group	100%	1
Group Leaders & PCV	83%	18
PCV	74%	43

TABLE D-22

PROJECT BUDGET AND PRODUCTION OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	4
Agency Officials & PCVs	100%	1
Group	100%	1
Group Leaders & PCV	82%	11
PCV	69%	35

TABLE D-23

PROJECT BUDGET AND CAPACITY OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	9
Group & PCVs	100%	4
Agency Officials & PCVs	100%	1
Agency Officials	100%	1
Group	100%	1
PCV	62%	16

TABLE D-24

PROJECT BUDGET AND PROJECT IMPACT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	10
Group & PCVs	100%	4
Agency Officials	100%	2
Agency Officials & PCVs	100%	1
Group	100%	1
PCV	59%	22

TABLE D-25

PROJECT BUDGET AND FUNCTIONING OF THE PROJECT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	11
Group & PCVs	100%	3
Agency Officials	100%	2
Agency Officials & PCVs	100%	1
PCV	82%	34

TABLE D-26

PROJECT PLANNING AND OUTCOME AS PLANNED

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	8
Group	100%	3
Group Representatives	100%	2
Agency Officials	100%	1
Group Leaders & PCV	89%	18
PCV	72%	18

TABLE D-27

PROJECT PLANNING AND PRODUCTION OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	6
Group	100%	3
Agency Officials	100%	1
Group Leaders & PCV	85%	14
PCV	69%	13
Agency Officials & PCVs	50%	2
Group Representatives	0%	1

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TABLE D-28

PROJECT PLANNING AND CAPACITY OUTCOMES

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Representatives	100%	1
Group	100%	1
Agency Officials	100%	1
Group Leaders & PCV	89%	9
PCV	83%	16
Group & PCVs	83%	6
Agency Officials & PCVs	50%	2

TABLE D-29

PROJECT PLANNING AND PROJECT IMPACT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group & PCVs	100%	4
Group Representatives	100%	1
Group	100%	1
Agency Officials & PCVs	100%	1
Group Leaders & PCV	91%	11
PCV	75%	8

TABLE D-30

PROJECT PLANNING AND FUNCTIONING OF THE PROJECT

	<u>SUCCESS</u>	<u>TOTAL NUMBER</u>
Group Leaders & PCV	100%	11
Group & PCVs	100%	6
Group	100%	2
Group Representatives	100%	2
Agency Officials	100%	1
PCV	79%	14
Agency Officials & PCVs	50%	2



**MANAGEMENT TASKS**

**TABLE D-31**

**MONEY MANAGEMENT RESPONSIBILITY AND OUTCOME AS PLANNED**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	92%	1
Group Leaders or Representative	83%	12
PCV	74%	43

**TABLE D-32**

**MONEY MANAGEMENT RESPONSIBILITY AND PRODUCTION OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	10
PCV	74%	35
Group Leaders or Representative	56%	9

**TABLE D-33**

**MONEY MANAGEMENT RESPONSIBILITY AND CAPACITY OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	86%	7
PCV	84%	18
PCV and Group or Group Representative	80%	10

**TABLE D-34**

**MONEY MANAGEMENT RESPONSIBILITY AND PROJECT IMPACT**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV	79%	24
Group Leaders or Representative	71%	7
PCV and Group or Group Representative	67%	9

**TABLE D-35**

**MONEY MANAGEMENT RESPONSIBILITY AND FUNCTIONING OF PROJECT**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	7
Group Leaders or Representative	87%	8
PCV	85%	34

**TABLE D-36**

**MATERIALS MANAGEMENT RESPONSIBILITY AND OUTCOME AS PLANNED**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	12
Group Leaders or Representative	89%	27
PCV	50%	16

TABLE D-37

MATERIALS MANAGEMENT RESPONSIBILITY AND PRODUCTION OUTCOMES

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	90%	10
Group Leaders or Representative	80%	20
PCV	62%	13

TABLE D-38

MATERIALS MANAGEMENT RESPONSIBILITY AND CAPACITY OUTCOMES

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	87%	8
Group Leaders or Representative	82%	12
PCV	67%	6

TABLE D-39

MATERIALS MANAGEMENT RESPONSIBILITY AND PROJECT IMPACT

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	94%	16
PCV and Group or Group Representative	89%	9
PCV	57%	7

**TABLE D-40**

**MATERIALS MANAGEMENT RESPONSIBILITY AND FUNCTIONING OF PROJECT**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	12
Group Leaders or Representative	94%	17
PCV	69%	13

**TABLE D-41**

**LABOR MANAGEMENT RESPONSIBILITY AND OUTCOME AS PLANNED**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	1
Group Leaders or Representative	85%	34
PCV	68%	9

**TABLE D-42**

**LABOR MANAGEMENT RESPONSIBILITY AND PRODUCTION OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	6
Group Leaders or Representative	78%	27
PCV	71%	7

**TABLE D-43**

**LABOR MANAGEMENT RESPONSIBILITY AND CAPACITY OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	95%	19
PCV and Group or Group Representative	75%	4
PCV	67%	3

**TABLE D-44**

**LABOR MANAGEMENT RESPONSIBILITY AND PROJECT IMPACT**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	87%	25
PCV and Group or Group Representative	80%	5
PCV	75%	4

**TABLE D-45**

**LABOR MANAGEMENT RESPONSIBILITY AND FUNCTIONING OF PROJECT**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	4
Group Leaders or Representative	96%	23
PCV	57%	7

**TABLE D-46**

**MONITORING RESPONSIBILITY AND OUTCOME AS PLANNED**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	95%	21
PCV and Group or Group Representative	87%	15
PCV	43%	14

**TABLE D-47**

**MONITORING RESPONSIBILITY AND PRODUCTION OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	86%	14
PCV and Group or Group Representative	84%	12
PCV	64%	11

**TABLE D-48**

**MONITORING RESPONSIBILITY AND CAPACITY OUTCOMES**

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	90%	10
Group Leaders or Representative	88%	9
PCV	60%	5

TABLE D-49

MONITORING RESPONSIBILITY AND PROJECT IMPACT

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
Group Leaders or Representative	92%	13
PCV and Group or Group Representative	80%	10
PCV	60%	5

TABLE D-50

MONITORING RESPONSIBILITY AND FUNCTIONING OF PROJECT

	<u>OUTCOME ACHIEVED</u>	<u>TOTAL</u>
PCV and Group or Group Representative	100%	11
Group Leaders or Representative	94%	15
PCV	64%	11

**Appendix E**  
**IMPACTS of SPA**  
**on HOST COUNTRIES**  
**as PERCEIVED**  
**by PEACE CORPS STAFF**

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## **APPENDIX E**

### **IMPACTS OF SPA ON HOST COUNTRIES AS PERCEIVED BY PEACE CORPS STAFF**

This appendix contains estimates by Peace Corps staff of the impacts of the SPA Program on host country governments. Included are perceived impacts at the national, regional and local levels of the host country government, as well as at the community level. The tables included here present the numbers of Peace Corps staff who reported various types of positive, mixed (positive and negative), and unspecified impacts.

TABLE E-1

NUMBER OF PEACE CORPS STAFF REPORTING  
SPA PROGRAM IMPACT AT THE NATIONAL GOVERNMENT LEVEL

Response	Positive Impact	Positive & Negative Impact	Unspecified Impact
They are more aware of Peace Corps (Public Relations) - More aware of Peace Corps as a Development Agency	7	2	0
Complementary to local activities - Peace Corps helping local areas achieve development activities beyond their own limitations	3	1	0
See PCVs <u>doing</u> projects as more efficient than those <u>not</u> , value of PCV illustrated - strengthens credibility of PCV - small amount of money can enhance PCV work and develop community	2	0	0
Technical Assistance (TA) provides resources and interaction, training - SPA/TA provides training	2	0	1
Generally have a positive feeling about the resources PCVs bring to communities	1	0	0
Maintains good relationship even though we no longer have a program with them (Health)	1	0	0
Thank Peace Corps for these inputs, happy with outside inputs, like SPA assistance	1	0	0
Not really Peace Corps' function (doing development), It cannot be sustained, or redefine the three goals of Peace Corps	0	1	0
Provides equipment or staff	0	1	0
TOTALS:*	17	5	1

\* Multiple responses allowed.

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TABLE E-2

NUMBER OF PEACE CORPS STAFF REPORTING  
SPA PROGRAM IMPACT AT THE REGIONAL GOVERNMENT LEVEL

Response	Positive Impact	Positive & Negative Impact	Unspecified Impact
They are more aware of Peace Corps (Public Relations) - More aware of Peace Corps as a Development Agency	6	2	0
Complementary to local activities - Peace Corps helping local areas achieve development activities beyond their own limitations	4	2	0
See PCVs <u>doing</u> projects as more efficient than those <u>not</u> , value of PCV illustrated - strengthens credibility of PCV - small amount of money can enhance PCV work and develop community	3	0	0
Thank Peace Corps for these inputs, happy with outside inputs, like SPA assistance	2	1	0
Technical Assistance (TA) provides resources and interaction, training - SPA/TA provides training	2	0	1
A good way to enter the community in a profound way, tremendous introduction to the work Peace Corps can do	0	1	0
Good skills transfer, a lot of training with long term effect	1	0	0
Some very effective, high impact, positive projects	1	0	0
Generally have a positive feeling about the resources PCVs bring to communities	1	0	0
Provides equipment or staff	1	0	0
No, if confused with "donors" - Funds are good, but if people think of money rather than their own development, that is bad - Some only see the money, seeing the PCV as a bank	0	1	0
TOTALS:*	21	7	1

\* Multiple responses allowed.

TABLE E-3

NUMBER OF PEACE CORPS STAFF REPORTING  
SPA PROGRAM IMPACT AT THE LOCAL GOVERNMENT LEVEL

Response	Positive Impact	Positive & Negative Impact	Unspecified Impact
-----	-----	-----	-----
They are more aware of Peace Corps (Public Relations) - More aware of Peace Corps as a Development Agency	5	0	0
Complementary to local activities - Peace Corps helping local areas achieve development activities beyond their own limitations	4	3	0
Good cooperative effort at this level with community buy-in - Examples of positive interaction between the community and the PCV - Positive with community involvement - Interact, solve problems, accomplish	3	1	0
Thank Peace Corps for these inputs, happy with outside inputs, like SPA assistance	3	0	0
See PCVs <u>doing</u> projects as more efficient than those <u>not</u> , value of PCV illustrated - strengthens credibility of PCV - small amount of money can enhance PCV work and develop community	2	0	0
Good skills transfer, a lot of training with long term effect	1	0	0
Generally have a positive feeling about the resources PCVs bring to communities	1	0	0
Can decrease local institutional capacity	0	0	1
A good way to enter the community in a profound way, tremendous introduction to the work Peace Corps can do	0	1	0
Where projects are well designed and have good community participation	0	1	0
Money to do projects	0	1	0
No, if confused with "donors." - Funds are good, but if people think of money rather than their own development, that is bad - Some only see the money, seeing the PCV as a bank	0	2	0
TOTALS:*	-- 19	-- 9	-- 1

\* Multiple responses allowed.

TABLE E-4

NUMBER OF PEACE CORPS STAFF REPORTING  
SPA PROGRAM IMPACT AT THE COMMUNITY LEVEL

Response	Positive Impact	Positive & Negative Impact	Unspecified Impact	Negative Impact
They are more aware of Peace Corps (Public Relations) - More aware of Peace Corps as a Development Agency	5	0	0	0
Good cooperative effort at this level with community buy-in - Examples of positive interaction between the Community and the PCV - Positive with community involvement - Interaction, solve problems, accomplish	3	2	0	1
Some very effective, high impact, and positive projects	3	1	0	0
See PCVs doing projects as more efficient than those not, value of PCV illustrated - strengthens credibility of PCV - small amount of money can enhance PCV work and develop community	2	1	0	0
A good way to enter the community in a profound way, tremendous introduction to the work Peace Corps can do	2	1	0	0
Money to do projects	2	1	0	1
No, if confused with "donors" - Funds are good, but if people think of money rather than their own development, that is bad - Some only see the money, seeing the PCV as a bank	2	2	0	0
Complementary to local activities - Peace Corps helping local areas achieve development activities beyond their own limitations	1	1	1	0
SPA provides a catalyst for recognized needs that may have existed for some time	1	0	0	0
Carries out to tangible ends in community development processes, something to rally around, a means to an end	1	0	0	0
Good skills transfer, a lot of training with long term effect	1	0	0	0
A good example that small amounts of money are effective	1	0	0	0
Thank Peace Corps for these inputs, happy with outside inputs, like SPA assistance	1	0	0	0
Positive experience, requesting more PCVs	0	1	0	0
Where projects are well designed and have good community participation	0	1	0	0
Peace Corps brings new ideas to Host Country Nationals through training	0	1	0	0
TOTALS: *	25	12	1	2

\* Multiple responses allowed.

**Appendix F**  
**ADVANTAGES and DISADVANTAGES**  
**of USING the SPA PROGRAM**  
**as REPORTED by PCVs**

## **APPENDIX F**

### **ADVANTAGES AND DISADVANTAGES OF USING THE SPA PROGRAM AS REPORTED BY PCVs**

Tables F-1 and F-2 contain advantages and disadvantages, respectively, of using the SPA program as reported by PCVs. Multiple responses were allowed and the 113 PCVs surveyed gave a total of 159 advantages and 161 disadvantages.

TABLE F-1

**NUMBER OF PEACE CORPS VOLUNTEERS REPORTING VARIOUS  
ADVANTAGES OF USING THE SPA PROGRAM AS REPORTED BY PCVs  
(n = 113)**

Advantage	All PCVs	PCVs With SPA	Non-SPA PCV
Good for income generation projects	2	0	2
Good for grassroots projects, most needy beneficiaries; improve life quality; enables needed small scale projects when local resources limited and most money goes to large projects	20	8	12
Helps get projects started -Helps get projects finished -Funds unavailable any other way; can't find funding for these projects elsewhere -Getting the money/you need resources to work	28	8	20
Allows for the achievement of objectives; a vehicle; projects will have positive impact	8	3	5
Easier to get people involved if funded	1	1	0
Capacity building for beneficiaries	6	1	5
Sense of accomplishment, legitimacy for PCV; PCV determines appropriateness of project	10	3	7
Fast funding source -Good funding source; easy access to funding; dependable source -Has no strings attached -Wide scope of possible projects	38	18	20
Requires significant inputs from community	7	4	3
Requires follow-up commitment from community	1	0	1
Strict evaluation & follow-up; requires careful planning and evaluation	3	1	2
Work by yourself	1	1	0
Employs people/generates business/helps local economy	3	1	2
Builds infrastructure for further community development	7	4	3
Sense of accomplishment/working together for community	2	2	0
Good proposal writing & management exercise for PCVs -Required written proposal/peer review makes PCV create a better thought out project -rigorous proposal process	10	4	6
Small enough not to encourage continued dependence	2	1	1
Accountability for money; very difficult for money to get "pocketed" or otherwise abused	3	1	1
The funding is associated with Peace Corps (reputation, in-house advantage)	3	1	2
A resource person is available for more info for "comparison shopping" or counseling	3	2	1
Investment in group with good skills	1	0	1
Totals	159	64	95

Note: multiple responses are allowed

TABLE F-2

NUMBER OF PEACE CORPS VOLUNTEERS REPORTING VARIOUS  
DISADVANTAGES OF USING THE SPA PROGRAM AS REPORTED BY PCVs  
(n = 113)

Responses	All PCVs	PCVs With SPA	Non-SPA PCV
Enforces community opinion of PCV as a source of funds; may give false impression of PCV/SPA to community members not involved in project; creates expectation of future funding; perpetuates "gift" philosophy -Dependency on funds possible -People may get involved for funds without committing themselves to the project	57	19	38
Does not teach a community how to do it themselves; PCV having primary responsibility diminishes community ownership of project (doing for instead of helping do). No community participation in the budget process -Dependency on coordination; \$ only accessible via PCV -By using SPA they might not examine all available funds -Distances PCV from campesino in awkward "boss" position	3	14	29
<b>Subjects</b>			
Does not adequately support training programs -Restricted to money making activities -Addresses only specific problems -PCVs strong subjects don't qualify under SPA criteria	4	0	4
Too much focus on paperwork/detracts from time spent in the field; too much paperwork; overemphasizes money management at expense of evaluating project as development tool -Time consuming	11	3	8
Requires careful planning and management	2	0	2
Approval process too long; too slow; bad for seasonal projects; shortens PCV's useful service time	4	2	2
Budgeting/billing -- receipts due too quickly -Disbursement system inflexible -- sometimes all the money is needed up front	2	2	0
Seems to be for huge projects only; in many cases, over small funding to individuals is more effective	3	0	3
"Monuments" get built	3	2	1
Using out of country source	6	3	3
Political connections	1	0	1
Sometimes too difficult to meet criteria	1	0	1
Can be quick fix for problems needing long-term solutions	3	0	3
Available too early in PCV's tour	1	0	1
Administered by committee of 15+; consensus may be difficult	1	0	1
Possibility of theft of funds without strict controls	1	0	1
Funding delays	2	1	1
No third party active oversight; lack of follow up	4	3	1
Handouts interfere with free market competition	1	0	1
Difficult to "work self out of a job" so project will continue without PCV	2	0	2
In many cases, projects failed because of PCV's management	1	0	1
PCV can only do one project; hard to combine many related ones - Finite source; community might not find funds if they want to replicate a project; can't fill all needs - It's a one-shot thing, would be good if you could return for a second phase	7	3	4
Poorly publicized to PCVs	1	1	0
<b>Totals</b>	<u>161</u>	<u>53</u>	<u>108</u>

Note: Multiple responses allowed.

**Appendix G**  
**A.I.D. and PEACE CORPS**  
**COOPERATION**

## **APPENDIX G**

### **A.I.D. AND PEACE CORPS COOPERATION**

This appendix contains a series of six tables which support the discussion in Chapter IV of Volume I of this report. All tables are concerned with collaboration between A.I.D. and Peace Corps in (or prompted by) the implementation of the SPA program.

The numbers of Peace Corps and USAID staff responses vary somewhat among the different tables depending on the availability of appropriate respondents. Also, respondents were allowed to give more than one answer to some of the questions tabulated here. Multiple responses are indicated at the bottom of each applicable table.

TABLE 6-1\*\*

EVALUATION BY PEACE CORPS AND USAID STAFF  
OF AGENCY COLLABORATION IN THE SPA PROGRAM

POSITIVE RESPONSES	PEACE CORPS (n=28)	USAID (n=7)
Works well, unqualified, no problems	12	3
Works well, shortens approval time	1	0
Works well, better communication, good communication	3	0
Works well, projects good	0	1
Excellent, feedback sought as needed	1	0
Works well, cooperative and supportive	2	0
Great, it's the way the program business should be done	1	0
Works well in principle, just provide funds, not a relationship, no relationship, no unreasonable demands	1	1
Works well, MOU flexible	0	1
Subtotal	<u>21</u>	<u>6</u>
NEGATIVE RESPONSES		
Does not work well because of personal capabilities of staff involved	1	0
Poorly, due to lack of accountability, monitoring and control on Peace Corps' part	0	1
Not well, A.I.D. person does not come to SPA Committee's meetings*	1	0
Okay but proposals sometimes get bogged down	1	0
Not well, money is not being disbursed	3	0
Not well, no interaction	1	0
Subtotal	<u>7</u>	<u>1</u>
GRAND TOTAL	28	7

\* Comment offered in a country which is not counted as having USAID participation on the SPA Committee in this report.

\*\* This is the same as Table 12 in text.

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TABLE G-2

**EVALUATION BY PEACE CORPS AND USAID STAFF  
OF AGENCY COLLABORATION IN THE SPA PROGRAM RELATIVE TO THE SHARING OF MANAGEMENT ACTIVITIES**

	PEACE CORPS (n=27)		USAID (n=7)	
	BOTH AGENCIES SHARE ACTIVITIES		BOTH AGENCIES SHARE ACTIVITIES	
	YES	NO	YES	NO
<b>POSITIVE RESPONSES</b>				
Works well, unqualified, no problems	4	10	0	3
Works well, shortens approval time	0	1	0	0
Works well, better communication, good communication	3	0	0	0
Works well, projects good	0	0	0	1
Excellent, feedback sought as needed	0	1	0	0
Works well, cooperative and supportive	2	1	0	0
Great, it's the way the program business should be done	0	1	0	0
Works well in principle, just provide funds, not a relationship, no relationship, no unreasonable demand	0	1	0	1
Works well, MOU flexible	0	0	0	1
Subtotal	9	15	0	6
<b>NEGATIVE RESPONSES</b>				
Does not work well because of personal capabilities of staff involved	1	0	0	0
Poorly, due to lack of accountability, monitoring and control on Peace Corps' part	0	0	0	1
Not well, A.I.D. person does not come to SPA Committee's meetings**	1	0	0	0
Okay but proposals sometimes get bogged down	0	1	0	0
Not well, money is not being disbursed	0	2	0	0
Not well, no interaction	0	1	0	0
Subtotal	2	4	0	1
<b>GRAND TOTAL*</b>	<b>11</b>	<b>19</b>	<b>0</b>	<b>7</b>

\* Multiple responses allowed.

\*\* Comment offered in a country which is not counted as having USAID participation on the SPA Committee in this report.

TABLE G-3

ACTIVITIES PEACE CORPS & USAID WOULD LIKE TO CONDUCT TOGETHER  
TO IMPROVE THE SPA PROGRAM

PROJECTS	PEACE CORPS (n=37)	USAID (n=7)
-----		
Project Coordination between USAID and PC	6	0
- project design and definition		
- Shared site visits		
- Technical support for projects		
Joint evaluation of projects	1	1
- with cost benefit		
More sharing of follow-up for monitoring	1	0
Training for PC & A.I.D. staff in intent & conduct of SPA	1	0
PROGRAMMATIC		
-----		
Direct communications with USAID to review SPA Policy, agree on reporting responsibilities, & other communications	4	0
- develop administrative procedures for funding program wide; clear up funding problems		
Redesign project criteria for more flexibility	1	0
SPA funds for Education	2	0
Participate or communicate about a particular technical area	2	0
FUND MANAGEMENT		
-----		
More A.I.D. involvement in Accounting and Technical Review of Projects	1	0
Develop practical ways to deal with obtaining adequate receipts and documentation from communities	1	0
Evaluation of PCs capabilities in financial management in order to transfer authority to PC	0	1
A.I.D. AND PEACE CORPS RELATIONSHIP		
-----		
Better relationship between A.I.D. and PC	1	0
More frequent contact with PCVs to better understand PC programs	0	1
SPA Program Officer from A.I.D. to attend committee meetings occasionally (subordinate attends regularly)	1	0
To convince A.I.D. that small projects are better (than the larger ones they want to do with SPA)	1	0
NONE	16	5
-----		
TOTALS*	39	8

\* Multiple responses allowed.

TABLE 6-4

ACTIVITIES PEACE CORPS & USAID WOULD LIKE TO CONDUCT TOGETHER  
OUTSIDE THE SCOPE OF THE SPA PROGRAM

COOPERATIVE EFFORTS	PEACE CORPS (n=37)	USAID (n=7)
-----	-----	-----
We already work together	5	0
Working on cooperative ideas now SPA central to the discussion of how to extend cooperation	2	1
Briefing on various A.I.D. funding programs	1	0
Expansion of SPA projects to an "infrastructure" focus program focus program addition	1	0
To determine if PC is fitting well in District level Development Plans	0	1
Share sectoral information and published resources	1	0
Institution building	1	0
Cooperation evolving to benefit best use of U.S. Funds	1	0
Something - Unspecified	2	0
More interaction where we participate in the same programs	1	0
Collaboration on logistical support	1	0
 SUPPORT PCVS		
-----		
More or any placement of PCVs in PVOs - examine relationship between PC and other NGO activities	1	2
More direct program support of PCVs by A.I.D.	1	0
PCVs assigned to a specific technical program	0	1
 TECHNICAL		
-----		
Specific Technical Program(s)	10	1
Encourage A.I.D. technical people to help PC projects	1	0
 TRAINING		
-----		
Training - continue joint training activities	3	0
 NONE		
	12	2
	-----	-----
TOTALS*	44	8

\* Multiple responses allowed.

TABLE G-5\*\*

NUMBER OF PEACE CORPS AND USAID STAFF CITING VARIOUS  
ADVANTAGES OF THE A.I.D./PEACE CORPS SPA COLLABORATION

RESPONSES	PEACE CORPS (n=39)	USAID (n=9)
-----	-----	-----
Money from A.I.D., assistance with funding	29	2
- Funds from A.I.D. controlled by PC		
- Quick and easy funding for small projects		
- Confidence in the funding source		
- Flexibility in spending outside of costs covered by PC		
- Additional administration money for funds		
Technical experience of A.I.D. personnel	11	0
- Outside observer's point of view		
- A.I.D. has good project experience, know-how		
- A.I.D. perspective, second opinion		
Benefit to the country	2	3
- Money remains in the community		
- Good for the country, a lot more gets done		
- Beneficiaries really appreciate Peace Corps projects		
Volunteers and Programs Supported	4	0
- Provides a lot of PCV placements for A.I.D. projects		
Learning from and about one another	2	2
PC highly skilled in small project work, design, follow-up	0	4
- Good staff at PC		
Excellent interaction between PCVs and A.I.D.	2	2
- institutional coordination between A.I.D., HCG, and PC		
- Mutually beneficial		
- Collaboration at different levels is advantageous		
Individual PCVs would go to A.I.D. if SPA did not exist	0	1
Not intrusive, don't over-manage	1	0
A.I.D. spending money at the small community level which they could not do otherwise; enhances A.I.D. program	0	1
Relationship with A.I.D.-funded projects outside SPA	1	0
Potential collaboration:	1	0
A link person at A.I.D. for project and money questions	1	0
A.I.D. does accounting for ARDN	1	0
Doesn't take a lot of time	0	1
Like to keep the agencies separate as it is now	1	0
	--	--
TOTALS*	56	16

\* Multiple responses allowed.

\*\* Same as Table 13 in text.

TABLE G-6\*\*

DISADVANTAGES TO THE A.I.D./PEACE CORPS SPA COLLABORATION

RESPONSES	PEACE CORPS (n=30)	USAID (n=10)
None	15	5
Administrative obstacles in moving funds	7	3
- A.I.D. rigid in releasing funds		
- Getting funding released (HC Loop)		
- Delays in implementation, delays in disbursement		
- Time consuming for programming documents (funding)		
A.I.D. lacks seriousness, or interest in the program	6	0
- A.I.D. personnel inaccessible because of low priority		
- they are not interested in the micro approach		
- A.I.D. not using a really good resource - PC		
- they look down on PCVs		
PC becomes arm of A.I.D.	4	0
- Sometimes identified as A.I.D. personnel - they think we are father Christmas		
- A.I.D. political image		
- A.I.D. attempts to use PCVs instead of hiring staff		
Liquidation problems	3	1
- Delays in liquidation of advanced funds		
- Minor problem - A.I.D. auditors try to apply large project auditing practices to small projects which are not held to the same accounting practices		
- Inflexibility of A.I.D. in receiving statements of account for advanced funds		
- Unclear who has which accounting responsibilities		
Different philosophies on people, resources, programming, time lines & methods	4	0
Volunteer Placement must be carefully considered	3	0
- Jeopardize PC philosophy if people expect PCVs to bring money		
PCVs get discouraged quickly, burn out rate is higher on structured projects	0	1
PCV is fall guy on A.I.D. project if project not successful	1	0
Occasionally projects are inappropriate	0	1
Projects fall apart when the PCV leaves	0	1
Little follow-up on projects	1	0
Bureaucracy	1	0
TOTALS*	45	12

\* Multiple responses allowed.

\*\* Same as Table 14 in text.

**Appendix H**  
**COUNTRY DESCRIPTIONS**

## APPENDIX H

### COUNTRY DESCRIPTIONS

The descriptions summarize the systems used to administer the SPA program in each country visited. They describe the SPA program and its management, country agreements, project and technical assistance administration, and reporting and communications with SPA/OTAPS.

Information collection in each country was constrained by (1) nonavailability of some key staff people, and (2) the logistical difficulties of conducting eight or nine site visits within a two-week period of time.

The descriptions are representative of the variety of management systems and the SPA program at the time of the evaluation field visits (Spring/Summer, 1988). Because the management systems change constantly, however, this information cannot be assumed to be accurate for any other time period.

**AFRICA REGION**

**Kenya**



## Kenya

### Program Overview and Management

At the time of the country visit a total of \$245,000 had been obligated to the Kenya SPA program through agreements between USAID and Peace Corps beginning in 1983. Of that total, \$45,000 had been assigned to Health projects and \$200,000 to ARDN projects. No projects were reported in the 1987 SPA Annual report, but the country annual report prepared by the Peace Corps SPA Coordinator listed 34 projects in FY87 with an average cost of \$1,485. Peace Corps Kenya has not used SPA Technical Assistance to fund any activities in Kenya; however, SPA/TA funds have supported staff participation in activities conducted outside of Kenya.

The SPA program is managed by the Peace Corps SPA Coordinator, a position held by the Program and Training Officer. The SPA Coordinator links the PCV and his regional APCD to services and processes in the office concerning SPA (i.e., approval and funding) and coordinates with USAID. The SPA Coordinator also prepares yearly reports on the status of the program.

At USAID the program is managed by a staff member in the office of Human Resources Development who serves as USAID SPA Coordinator. He coordinates with Peace Corps, tracks paperwork through the USAID system and conducts occasional site visits to monitor the program.

### Country Agreements

To obligate ARDN funds, yearly amendments to the original agreement are prepared, and are signed by the PCD and the USAID Mission Director. These funds are available for two years. Health funds are agreed to through a memo of agreement prepared by Peace Corps. The yearly funds are then transferred to Peace Corps Kenya through Peace Corps Washington in yearly allotments. Health funds are also available for two years but are usually spent in the first year.

As of June 1, 1988, Peace Corps became solely responsible for the approval of SPA projects. Before that time USAID had also been in the approval loop. Peace Corps Kenya and USAID are both interested in assigning disbursement and accounting responsibilities as well to Peace Corps alone. Discussions on this subject are continuing between USAID and Peace Corps Kenya; both parties have contacted their Washington offices for advice, but no alternate plan has yet been developed.

## **Project Approval**

1. A PCV and community develop an idea for a project and draft a proposal.
2. The PCV (sometimes accompanied by a community member), submits the draft to the regional APCD. They work together on the development of the proposal. The PCV goes back to the community to continue work on the project.
3. The APCD visits the site to interview community members and the PCV on project feasibility and on the community's attitude concerning funding and their ability to contribute to the project.
4. Changes in the proposal are made as necessary and a final draft is prepared.
5. The APCD uses the criteria on the IAA checklist to review the project and sends the proposal with a memo of recommendation to the Peace Corps SPA Coordinator in Nairobi.
6. The SPA Coordinator reviews the proposal and may direct questions to the APCD and PCV. When he approves the project he sends the proposal to the PCD with a recommendation for approval.
7. The Peace Corps Director signs and the project is approved.

In addition to the criteria established for the approval of projects worldwide, Kenya-specific additional criteria include:

1. A 25 percent community contribution, which may be in-kind and/or in cash.
2. The PCV cannot initiate a SPA project before six months of service, and must have six months of service time remaining.
3. Projects which support sports or recreational activities are not within the areas funded by SPA.
4. The proposal requires signatures from the local chief, the Divisional District Development Officer, and the District Officer of the relevant Ministry.

Throughout the approval process, the PCV is informed of proposal progress through a standard form called "Status of Your Secondary Project Proposal".

## **Additional Host Roles in the SPA Program**

All development projects must be approved locally. First, the project must pass the Sub-location Development Committee

which is chaired by the Assistant Chief. The committee ranks the proposed projects, and the lists of project priorities from all Sub-location Development Committees are sent to the Location level where they are reviewed. The lists are then passed to the District, which coordinates planning for the entire area. The result of this local- to district-level review is that the District Commissioner is informed on all SPA projects. District Officials pay visits to SPA projects and help support PCVs where problems occur. This system has not resulted in Government of Kenya control of the choice of projects; no projects approved at the local level have been subsequently disapproved.

### **Disbursement to Projects**

1. An approved project is sent to the APCD for Administration who prepares a request for an advance of funds through the use of a purchase order for the amount of the project. The proposal and purchase order are sent to the USAID SPA Coordinator in the case of ARDN projects, and directly to the Embassy Disbursing Office in the case of Health projects.
2. For ARDN funds, the USAID Accounting department will process the Peace Corps' request and determine if funds are available. The Controller's Office checks the accounting data and reserves the funds. The request is then sent to the Embassy Disbursing Officer, and a check is prepared. Checks take from one week to one month.
3. The check is sent to the USAID Cashier and Peace Corps is notified. The Peace Corps Accounting Technician notifies the PCV that the check has arrived and deposits it into the PCV's bank account.

### **SPA Project Tracking Mechanisms**

When a project is approved, the Peace Corps Accounting Technician opens a project file. The contents include the proposal, "Status of Your Secondary Project" forms, the IAA cover sheet, and all financial information (such as the record of the deposit of funds into the PCV's account and receipts). All field information from the PCV is channeled through the APCD to the Peace Corps SPA Coordinator and on to the Peace Corps Accounting Technician as appropriate.

The APCD is kept informed on the PCV's activities through monthly reports and notes. APCDs also conduct occasional site visits during the projects. Project progress reports with receipts are to be prepared by the PCV every 90 days and submitted to the Peace Corps SPA Coordinator. When the project is completed an ACN is required. Projects which take 90 days or less require only the receipts and the ACN to be turned in to the Peace Corps SPA Coordinator.

## **Accounting for Projects**

When a project is completed, the APCD reviews the receipts and project documents and sends them in to the Peace Corps SPA Coordinator. The Coordinator reviews the documents and sends them to the USAID SPA Coordinator. The receipts are sent to the Peace Corps Accounting Technician, who prepares a final review.

Projects approved with ARDN funds obligated through FY87 are liquidated by sending the receipts and a no-pay voucher to USAID. Methods for liquidation of funds obligated under future agreements are unclear, since the mechanism for funding had not been established at the time of the country visit.

For Health projects, the project totals and receipts are sent with a memo to the Embassy Disbursing office and summaries of project costs are sent to SPA/OTAPS.

At the time of the country visit, the new USAID Controller indicated that he planned to begin tracking advances in a more systematic fashion. Project groups which were delinquent in accounting for funds (i.e., who had failed to liquidate funds one year after the project began) would be sent three standard, monthly letters requesting an accounting of the funds. At the end of 120 days, a bill of collection would be sent to the group with penalty and interest charges. PCVs are responsible for the financial management of most projects and would be subject to this system.

## **SPA-Funded Technical Assistance**

No SPA Technical Assistance has been used for in-country activities to date; however, SPA/TA funds have covered the costs of Peace Corps staff travel to events outside of Kenya on several occasions.

## **Quarterly Reports to SPA/OTAPS**

No quarterly reports are prepared. Yearly summaries are written by the Peace Corps SPA Coordinator and sent to SPA/OTAPS.

## **Communication with SPA/OTAPS Concerning Projects**

As soon as IAAs and ACNs are completed, they are sent to SPA/OTAPS by the Peace Corps Accounting Technician.

**AFRICA REGION**

**Lesotho**

## Lesotho

### Program Overview and Management

Lesotho has the smallest-scale SPA program of any of the countries visited in this study. Since the original agreement in 1983, they have obligated a total of \$180,700 to the program, \$30,000 of which was for Health projects. One project is recorded for the country in the 1987 SPA Annual Report, for a cost of \$1,972 to SPA. Lesotho does not initiate SPA/TA requests, though staff and Peace Corps Volunteers have attended several international events supported by SPA/TA funds.

With the smaller scale of the SPA program in Lesotho, the support structures developed in other countries are not in place. No Peace Corps staff member is particularly responsible for the SPA program, files have not been kept in any systematic fashion, and projects are not commonly liquidated after completion. Among members of the staff interviewed during the site visit, few were aware of how SPA functions or how to find out more about it. Both USAID and Peace Corps staff pointed to a need for a SPA Coordinator to manage the program, help Volunteers with proposal development and conduct relevant training.

Lesotho is a donor-rich country. There are many sources of funds, among which SPA is only "a drop in the bucket". Several Peace Corps staff people were concerned about Peace Corps being confused with the donor population. USAID also provides \$3,000 support per Volunteer in the agricultural program in materials and transportation.

### Country Agreements

Both the Director of USAID and the Peace Corps Director have tried to determine if they could remove USAID from the approval and accounting processes involved in the SPA program. The USAID Controller expressed concern about Peace Corps' capacity to account for the funds for which he was ultimately responsible. The initiative has been abandoned for the time being; however, both directors requested that SPA/OTAPS look into the possibility of designing the ARDN fund along the lines of the Health funds, where USAID is not involved in the processes of approval of and accounting for individual project activities.

Funds from yearly agreements are not spent in their entirety, and the surplus is deobligated by USAID after the second year. Available documents do not specify any additional criteria for the SPA program other than those spelled out in the original MOU. Lesotho is, however, the only country in the study which uses vouchers to vendors exclusively for ARDN. At the time of the country visit, no one could report on the systems of disbursement or accounting for Health projects.

## **Project Approval**

The entire proposal and approval process is ad hoc. Few projects are funded, and management processes have not been developed. There was little concurrence among the staff on what the process for approval was, but in general the following scenario describes what takes place:

1. The PCV discusses the project idea with the APCD. The PCV receives advice and returns to the site.
2. The PCV develops a proposal and submits it to the APCD, who reviews it and makes suggestions for changes. Most proposals require at least one revision.
3. The proposal is then passed to the PCD with the APCD's recommendation to fund or not to fund.
4. The PCD reviews the proposal and usually suggests revisions. When the proposal is acceptable the PCD sends the proposal on to USAID with a recommendation for funding.
5. The USAID Project Development Officer receives and reviews the proposal and asks for revisions and clarification as necessary; he then circulates the proposal to appropriate technical experts in the USAID mission for comment. The Project Development Officer then approves or rejects the proposal. Projects have not been rejected once they have been sent to USAID; however, USAID has asked for clarification or further information on some proposals before approving them. The time period for approval by the USAID office is ten days, by their own standards.
6. USAID then informs the Peace Corps of approval and the Peace Corps staff informs the PCV. An official project file is established at USAID and another is established at Peace Corps and maintained by an office assistant.

There is no initial moratorium on conducting funded projects as in many other countries, where PCVs may not submit proposals for the first three to six months of their service.

## **Additional Host Roles in the SPA Program**

There are no official roles in the SPA program at the national level. At the regional levels there are some sign-offs, but this is done irregularly. At the community level, there is always a community signature on the IAA, and sometimes local authorities are active in the management of the projects.

## **Disbursement to Projects**

Peace Corps Lesotho uses a purchase order system of reimbursements for goods and services exclusively, as required by the USAID Controller.

1. The PCV brings invoices to the Peace Corps Administrative Officer, indicating the services or goods have been provided by vendors. When an invoice is accepted by Peace Corps, a purchase order is drawn up, along with a standard Peace Corps Lesotho memo which includes the project number, vendor's name, PCV's name, and amount requested. Both documents are submitted to the USAID Controller's office for approval.
2. The Controller's office checks the invoice against the Individual Activity Agreement and budget, and earmarks the funds if available. The purchase order is then pouched to RAMC Paris.
3. A check in local currency, made to the individual vendor, is pouched to USAID Lesotho. Peace Corps is responsible for distributing the check to the vendor and receiving acknowledgment of receipt of funds by the vendor.

Most PCVs are content with the purchase order disbursement system; however, no one realized that other systems could be used. Some PCVs mentioned that the system was ponderous, and the fact that they could not obtain credit or "front" money for expenses caused them great difficulties. The USAID Controller and the Peace Corps staff have recognized this problem and have been willing to alleviate the situation by meeting with large vendors in Maseru to "all but guarantee payment" by showing that USAID is funding SPA projects.

## **SPA Project Tracking Mechanisms**

PCVs are required to submit quarterly reports and an ACN to Peace Corps staff. Copies of these documents are passed to USAID for their files.

## **Accounting for Projects**

None of the completed projects reviewed during the country visit had been closed out, according to the Peace Corps files. The USAID controller keeps records at USAID by tracking vouchers.

## **SPA-Funded Technical Assistance**

Lesotho has not initiated any SPA/TA, and staff are unfamiliar with this source of support.

**Quarterly Reports to SPA/OTAPS**

Quarterly reports are prepared, but it is unclear whether they are actually sent to SPA/OTAPS.

**Communication with SPA/OTAPS Concerning Projects**

None reported during the country visit.

**AFRICA REGION**

**Mali**

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## **Mali**

### **Program Overview and Management**

The SPA program began in Mali in 1983. Since that time Peace Corps and USAID have obligated a total of \$230,000 to the program, \$30,000 to Health and \$200,000 for ARDN. Average project costs for 1987 were \$2,402 as reported in the 1987 SPA Annual Report. Peace Corps Mali has also used SPA/TA for a variety of activities, making progress in the content and skill base of specific technical areas and programming. These skills have been transferred at community levels.

The management of the SPA program centers around the SPA Committee, currently composed of ten PCVs who meet in more or less alternating groups of five at ten times during the year. The committee members are elected regionally by their fellow Volunteers each year. The number of review meetings has been doubled this year to facilitate the timely approval of projects.

The committee conducts a variety of tasks beyond approval of projects. As regional representatives, they consult with Volunteers in the design phases of their proposed projects to provide guidance in the formulation of new projects. They also conduct evaluations of projects underway to gain a better understanding of the impact the SPA projects are having and to identify projects that need follow-up. This information is combined with information gathered during discussion and approval of projects and is then developed into handouts that outline common problems in specific, commonly-funded technical areas. These handouts are then used by PCVs when preparing projects in those technical areas.

The Peace Corps Administrative Assistant serves as the SPA Records Coordinator. He processes and maintains all the documents for individual SPA projects and conducts much of the legwork involved in collecting checks and coordinating with USAID. At the time of the country visit, the PCD identified record keeping as a weak link in the Peace Corps SPA program, but indicated that it was under assessment and modification. USAID does not play a management role in the SPA program.

### **Country Agreements**

Peace Corps initiates an agreement when they are low on funds. The PCD negotiates the next SPA amendment with the USAID Program Officer, including length of time to use the funds, which is calculated on past use and projected needs. Peace Corps has used ARDN funds for periods of up to three years.

USAID drafts two amendments, one for ARDN and one for Health, then cables A.I.D. Washington for the allocation of funds. When they get confirmation on this, USAID and Peace Corps

sign the amendments. Under the current plan, USAID then prepares vouchers to have the funds transferred to Peace Corps Mali through Peace Corps Washington.

In 1986, the USAID Controller's office wrote a check to Peace Corps and the papers were walked through the system in Washington when Peace Corps personnel were on home leave in Washington, D.C. The next agreement for ARDN was not made until mid-March 1988. At the time of the country visit in mid-August no funds had yet been received for transfer by Peace Corps Washington. USAID identified the reasons for delay, which included the need for a new description of fund disbursement to amend the MOU, and some justification for liquidation of advances made in FY 86. Peace Corps indicated that they could supply this information once they became aware, at the time of the country visit, that these requirements were holding up the funding.

The USAID staff expressed the opinion that these funds should simply be placed in the Peace Corps budget at the outset. They felt that their pro-forma involvement in providing funds for the SPA program is inappropriately time-consuming, and has no basis in cooperative action. The post is geared to fund projects at the million-dollar level, but has to go through the same lengthy bureaucratic steps to obligate the \$40,000 for the SPA program. If interaction is the intent of the program, they felt Congress should detail specific activities in which the agencies might cooperate. In addition, the USAID Program Officer expressed concern about amending the program agreement on an annual basis for funds over which she has no control and for which she has no tracking responsibilities.

### Project Approval

1. The project is first developed at the community level and must clear the village council, the development committee at the *Arrondissement* level, and the agency to which the PCV is assigned.
2. In the development of a project, PCVs work with their APCD and one or more members of the SPA Committee to produce a proposal. This completes the first phase of approval.
3. APCD and committee members recommend the project to the committee. The proposal is tentatively approved, whereupon the IAA is signed and the funding process begins.
4. Four copies of the proposal are provided to the committee 48 hours before the monthly meeting. The PCV presents the proposal to the SPA committee, and the committee approves the project for funding, requests additional information about it, or rejects it.

The committee meets once a month (ten times in one year). PCVs are able to work out many of their early problems, before

the proposal goes to the committee, through close work with the committee members and attention to the published guidelines. Nonetheless, requests for additional detail are frequent and funded proposals normally take two months to develop.

Approval only takes about a week once the proposal is in top shape, but that week may take a month in elapsed time, since the committee meets only once a month. PCVs are aware of the timing of the meetings and can plan accordingly.

### **Additional Host Roles in the SPA Program**

National and regional authorities have no official roles in the conduct of the SPA program. Peace Corps tries to encourage contributions from the national development funds disbursed at local levels. Their financial contribution to development projects in local areas implies technical assistance as well.

*Arrondissements* may also contribute to projects, but must acquire funds from the *Circle* level of local government. The *Chef d'Arrondissement* signs the IAA, as does the recipient group and a *chef de service*, as appropriate. In principle, Peace Corps feels that local authorities should provide up to one third of the project costs, and in some cases local development committees have assumed the recurrent maintenance costs of some public works projects.

### **Disbursement to Projects**

1. The PCV gets initial approval of the drafted proposal by a committee member and the APCD. The IAA is then signed, and functions as the obligating document.
2. The Peace Corps Administrative Officer or his assistant prepares a purchase order, which is always made payable to the PCV. This takes from ten minutes to two days, depending on secretarial work load.
3. The Embassy B&F Office approves the purchase order, a task which they perform two days a week. They send a copy to Peace Corps and the original to RAMC Paris.
4. A check is received within two to four weeks through the Embassy. The checks arrive on Tuesdays, and Peace Corps can get them on Wednesday mornings.
5. In the meantime, the PCV has been advised that the check will come in about four weeks after the SPA committee has given final approval to the project, and the PCV watches for the check's arrival within this timeframe. The PCV receives a signed approval form from the SPA committee stating that the project has received final approval and that the check may be given to the PCV when it arrives. Often the check is

in place by the time the project has been approved at this level. The PCV comes to Bamako to pick up the check and deposit it into the bank there, either into a personal account or a newly-opened one, as advised. A Volunteer can then carry the cash back to the post without any problem.

Where projects are under \$500 the Peace Corps post may choose to advance the funds out of the imprest fund. Some Volunteers use their own funds for small purchases to get the projects started before they receive their funding.

### **SPA Project Tracking Mechanisms**

APCDs receive written quarterly reports from their Volunteers as well as verbal reports. Site visits are also common. For each project, the Administrative Assistant maintains a file which includes the IAA, receipts, vouchers, the summary sheet for disbursement, and the ACN. When the project is completed, a copy of the documents of content are placed in files for Volunteer reference in project planning. These files are used extensively.

Mali is doing some evaluation of their past projects. The members of the committee are following up on projects which have been completed for a period of time. Their assessments of projects are incomplete; nonetheless, they are amassing some information for yearly review of their own progress in implementing successful projects and the creation or revision of guidelines in some technical areas.

### **Accounting for Projects**

PCVs collect all their receipts and use the Summary Sheet for Disbursements. These sheets are sent to the SPA Records Coordinator, who works with the PCV to balance the account. The PCV writes a check for the outstanding amount as necessary and the money is returned to RAMC Paris.

Under the country agreement, Peace Corps is to provide monthly financial statements to USAID including a list of all approved individual activities and costs under the yearly ARDN allotment. It is not clear that the post is currently doing this.

### **SPA-Funded Technical Assistance**

Technical assistance is accessed in several ways. First, planned activities are listed in the CMPB, with the request that some of the activities be funded by SPA. Second, a technical request may be channeled through the appropriate sector in OTAPS. Technical requests concerning water, for example, have been handled in this way. Third, requests are made directly to

SPA/OTAPS in response to quarterly cables with notification of SPA quarterly review meetings. In all cases, the APCD involved prepares a design and budget, which is reviewed by the PCD before it leaves the post.

The APCD prepares the budget for a proposed SPA/TA activity with the help of the PTO and the Administrative Officer. The Administrative Officer or the Logistics person usually make purchases as necessary, and the Administrative Officer handles the receipts.

A report of each event is submitted with an account of the money spent. Both the APCDs and the Administrative Officer, who prepares the budget information and cables it to OTAPS, expressed a desire for clearer directives concerning the information required by SPA/OTAPS. Excess funds are returned by the Administrative Officer's office.

#### **Quarterly Reports to SPA/OTAPS**

No information was collected during the country visit.

#### **Communication with SPA/OTAPS Concerning Projects**

The post responds to information requests from SPA/OTAPS and sends in IAAs and ACNs in bunches.

**AFRICA REGION**

**Senegal**

## Senegal

### Program Overview and Management

Peace Corps and USAID signed their first cooperative agreement to establish the SPA program in 1983. Since that time they have obligated a total of \$285,000 for projects, \$240,000 for ARDN and \$45,000 for Health. Senegal reported 17 projects in the 1987 SPA Annual Report for an average cost of \$1,669. Senegal has also used SPA/TA on a variety of activities including an evaluation of gardening projects, project design and management workshops and other training events.

Training to conduct small projects has been institutionalized in Senegal with the incorporation of the SPA Program Design and Management Workshop into the In-Service Training given to Volunteers after their first six months. The workshop, which includes "Senegalized" components, is intended to ensure that PCVs have the basic tools necessary to design projects and carry them out.

SPA funds are one of many sources for funding available for Volunteers to implement projects. In recent years SPA has commonly been used to fund garden and well projects. In the process of applying for funding, Volunteers submit proposals to their APCDs, who assign the proposal to the funding source most suitable to the project. This has recently resulted in the use of SPA funds primarily for millet-grinding machine projects.

The APCD for Forestry currently serves as the SPA Coordinator, managing the program in general with the exception of Health funding issues, which are handled by the APCD for Administration. The SPA Coordinator is new to Senegal and is establishing some new practices and materials for the management of the program which will include:

- o plans to turn over much of the administrative paperwork, correspondence, etc., of SPA to the APCD secretary;
- o assembling a body of information about SPA so that stand-ins or an eventual replacement will have guidelines for reference, thus ensuring continuity in the program;
- o developing guidelines for specific project types (e.g., millet machines) which will eliminate some APCD workload by having PCVs prepare more standardized project proposals, thus avoiding much of the preliminary counseling currently necessary each time a new Volunteer wishes to attempt such a project.

USAID does not participate directly in the management of the SPA Program in Senegal. USAID supports the program criteria as defined, but leaves policy decisions and daily management to the Peace Corps.

## Country Agreements

Amendments to the original agreement are made at the beginning of each fiscal year through requests to the USAID Program Officer. The country agreement is straightforward and includes detailed disbursement, as described below; however, USAID is currently increasing the accounting requirements from Peace Corps. Originally, funds obligated to ARDN were made as disbursements to Peace Corps and required no formal reporting to USAID. The new system provides for advances which require quarterly liquidation vouchers and yearly reviews to be prepared by Peace Corps for USAID.

The country agreement also stipulates two additional points which differ from the worldwide description of the program:

1. "An activity must be conceived and implemented in conjunction with a local community organization, community group, or private citizen. As appropriate this may include funding of certain activities through private individuals such as blacksmiths for urban cookstoves, private fish farmers, and banana plantations."
2. "The community contribution (in kind or cash) will be at least 25 percent of the project costs, including labor costs."

Health funds are made available through Peace Corps Washington on a yearly basis as amendments to the 1986 Health agreement.

Both ARDN and Health funds can be used for a two year period.

## Project Approval

1. The cycle begins with a Village Meeting between villagers, the Volunteer, the PCV's counterpart, the APCD and local government officials early in the PCV's assignment. Together they set out a village work plan for the PCV, including potential projects which interest the community.
2. The Volunteer and villagers conduct a feasibility study for a selected project, including looking at similar projects done by other PCVs. Results of the study are included in the Volunteer's bi-monthly reports and communications with the APCD.
3. The PCV writes up the project using a "Project Documents Reference Guide", and collects signatures from local government and village officials.

4. The PCV presents the proposal to a Regional Project Advisor, who is a second or third year PCV with some training in project appraisal. The Regional Project Advisor goes over the proposal with the post's "Project Review Checklist" to ensure that all project criteria have been met.
5. The proposal then goes to the PCV's APCD, who has the primary responsibility for trouble shooting and approving the proposal. The APCD may send it back to the Volunteer for revision. The APCD also decides which funding mechanism will be used (e.g., SPA, Self-Help, Peace Corps Partnership).
6. After clearance by the APCD, the SPA Coordinator reviews the project, and the Peace Corps Director signs off.

ARDN projects are sent on to USAID where the Assistant Program Officer signs off and the funding process is begun. Health projects go to the Peace Corps APCD for Administration who initiates the funding process.

#### **Additional Host Roles in the SPA Program**

There are no formal roles at the national level, but at the time of the country visit, the Peace Corps was about to sign a protocol agreement to tap into technical and training information for nationally funded millet machines (the subject of the most SPA projects). At the regional level, there is a supervisory capacity but no actual management of projects. The PCVs' direct supervisors are aware of the Volunteers' activities in general but are less aware of their specific funding mechanisms. Local officials are involved in project design and some management.

#### **Disbursement to Projects**

##### **ARDN Funds**

1. The SPA Coordinator types up a purchase order for a check to Peace Corps for the amount of the project.
2. The proposal and the purchase order are sent to the USAID Assistant Program Officer, who signs off on it. The USAID Controller orders a check from RAMC Paris.
3. USAID notifies Peace Corps when the check is received. Peace Corps deposits the check in a Citibank account for the SPA program and notifies the Volunteer.
4. The SPA Coordinator writes checks to vendors or to the PCV for materials and services, and keeps a log on the Project Accounting Sheet. Most purchases should be paid for with checks payable to vendors for goods and services delivered.

## Health Funds

For Health projects, the APCD for Administration makes disbursements from Peace Corps accounts through checks requested from RAMC Paris. The preferred method of payment is directly to vendors for goods and services delivered. Cash disbursements cannot be made from the Health account but advances on small amounts can sometimes be handled through the Peace Corps Imprest Fund.

## SPA Project Tracking Mechanisms

There are no reported tracking methods specific to the SPA program for projects. PCVs include SPA activities in their regular bi-monthly activity reports and SPA projects are visited about twice a year as part of the regular site visit schedule conducted by APCDs.

## Accounting for Projects

For each project, the total amount is entered on a tally sheet, and as checks are written they are debited. Financial oversight for Health projects is conducted by the Peace Corps Administrative Office. Yearly reports on disbursements are sent to SPA/OTAPS.

For ARDN projects, Peace Corps is to report quarterly to USAID, a new requirement, on liquidations made against advances to the program. No other accounting is needed by USAID. Receipts are kept by SPA Coordinator for each project. USAID reviews Peace Corps records from time to time.

## SPA-Funded Technical Assistance

1. OTAPS sends quarterly requests for technical assistance proposals.
2. APCDs draw up proposals, circulate them among other APCDs for comment, and submit them to the Director for sign off. APCDs are responsible for initiating and following through technical assistance proposals and activities.
3. The APCD sends a cable to OTAPS requesting technical assistance funding.
4. OTAPS approves and sends back fiscal data to obligate money.
5. The APCD draws money from petty cash (for small expenses) or a check (for large expenses or for those involving vendors) from the Peace Corps Budget & Fiscal Office at the Embassy.

6. The technical assistance is implemented; receipts are gathered by the APCD who requested the activity or the person delegated to run the activity.
7. Receipts are turned in to the APCD Administrative Officer, who zeroes out the accounting sheet.
8. Final expense information is cabled to SPA/OTAPS.

#### **Quarterly Reports to SPA/OTAPS**

Quarterly reports for ARDN are sent to OTAPS. Yearly reports are sent in for Health funds.

#### **Communication with SPA/OTAPS Concerning Projects**

Copies of IAAs and ACNs are sent to Washington as they are completed.

**INTER-AMERICA REGION**

**Costa Rica**

## Costa Rica

### Program Overview and Management

The SPA Program in Costa Rica was initiated in 1983 with the first cooperative agreement for the program between USAID and the Peace Corps. Since that time \$175,000 has been obligated, \$130,000 for ARDN and \$45,000 for Health projects. The SPA Program in Costa Rica is a small-scale program, in part because of strict self-imposed selection guidelines in effect until 1986, and after that as a result of difficulties in getting funds from yearly ARDN amendments to the program. Nonetheless, Costa Rica reported a total of 26 projects in the 1987 SPA Annual Report, at an average cost of \$2,840. Costa Rica is an infrequent user of SPA/TA, possibly because the Peace Corps staff in Costa Rica are not familiar with this potential resource.

The SPA program is managed by a third-year Volunteer, who holds a position called Resource Coordinator. During the country visit, the incumbent SPA Coordinator was leaving and the fourth Volunteer to hold this post was learning the program. The Resource Coordinator disseminates information about SPA and other funding sources such as Special Development Assistance (SDA) funds through training events, the Peace Corps country newsletter, and one-on-one counseling. The Coordinator also manages the Resource Center. Duties pertaining to the SPA program include helping Volunteers with proposals, project monitoring, accounting, chairing the SPA Approval Committee, and troubleshooting and site visits on an as-needed basis. The SPA Approval Committee currently consists of the Resource Coordinator, two APCDs, and two Volunteers.

USAID does not participate directly in the management of the SPA Program in Costa Rica. USAID supports the program criteria as defined, but leaves policy decisions and daily management to the Peace Corps.

### Country Agreements

Initially, the ARDN agreement and amendments were signed by Peace Corps and USAID. In 1987 the program switched from using funds directly from USAID's budget to the use of local currency funds from the Economic Stabilization and Recovery Project. This added the Bi-Party Commission of the Costa Rican Government to the yearly authorization cycle, as they control the Economic Stabilization Funds (ESF). The ARDN level remains at \$40,000 (the level of funding common to the worldwide SPA Program) with ESF, but USAID does not have to use funds from its own development assistance budget. USAID writes the amendments and sends them to Peace Corps. Peace Corps signs them, then returns them to USAID, who sends them to the Commission. There is, however, political opposition to the use of ESF in this way, and the funds for the 1987 amendment were never released by the

Commission. The 1986 funds have been completely used up, and at the time of the country visit, the 1988 amendment was being held up pending release by the Commission of the 1987 funds.

Projects continue to be approved for ARDN on the assurance from USAID that funds will be forthcoming soon. Health funds are not affected since they come directly from Washington.

Health and ARDN funds obligated before 1987 are accounted for through quarterly and yearly reporting procedures. Receipts are collected by the Resource Coordinator for projects. These are accounted for at Peace Corps, and quarterly (or bi-annual) status reports are sent to USAID. Final accounting is presented to USAID in yearly Status of Projects accounting. USAID reviews the Peace Corps files about once every six months in order to certify that Peace Corps has adequate internal controls on the funds.

According to a draft of the agreement to use ESF funds, obligated funds would be disbursed to Peace Corps through USAID in a series of advances at regular intervals throughout the year based on projected needs. This system had not been initiated at the time of the country visit, since no ESF-funded amendments had been finalized.

The PCD would prefer to have ARDN funds transferred through Peace Corps Washington in the same manner as Health funds.

### Project Approval

1. The PCV comes to the APCD and/or the Resource Coordinator with an idea or rough draft of a project. Some APCDs will visit the site and advise in the development of a project proposal; others see the primary responsibility resting with the Resource Coordinator.
2. The PCV and the community group work together to write the proposal and bring it to the Resource Coordinator and APCD. They work closely with the PCV to make sure all the pieces are there. The document is prepared and submitted to the SPA Approval Committee ten days before the monthly meeting.
3. The PCV's APCD must approve a proposal before it is submitted to the SPA Approval Committee, and may attend the committee meeting to lend his support to the project.
4. At the SPA Approval Committee meeting, each proposal is presented by a PCV and group representative(s). The participation of group representatives is essential to the process, and their effort in getting to the meeting and participating is evidence of the level of commitment to the activity. The committee approves, asks for further information, or disapproves. Most projects are approved on the first go around.

5. The PCD signs off on the project after it is approved by the Committee.

#### **Additional Host Roles in the SPA Program**

At the national level, funds for ARDN projects are allotted from Economic Stabilization Funds controlled by the Costa Rican Government. In principle, this requires only their signature of concurrence on yearly amendments in order to make these funds available.

At the regional level, many projects receive support in the form of additional funding and materials. Regional authorities often refer groups who are looking for funding to the Peace Corps as well. Water projects must meet certain water construction criteria and government authorities offer assistance and oversight in meeting these criteria. Health posts or clinics must also be approved.

At the local level, there is sometimes a collaborative effort in providing resources. Official municipal community committees have a role in participation, authorization and oversight of projects. Extension agents also interact on many projects.

#### **Disbursement to Projects**

Following approval of either a Health or ARDN project:

1. The Resource Coordinator prepares a purchase order which is signed by the Peace Corps Administrative Officer and the PCD.
2. The purchase order is sent to the Budget and Finance office of the Embassy where the purchase order is reviewed and forwarded to RAMC Mexico.
3. A check in local currency made payable to the PCV comes to the Cashier at Peace Corps. The check is deposited in the PCV's bank account and the PCV is notified. The Volunteer then transfers the funds to a new account with a joint signature, the PCV's and a group member's.

#### **SPA Project Tracking Mechanisms**

No special monitoring system is employed by APCDs for SPA projects. The APCDs check on projects during site visits and respond to requests for help from PCVs. In addition, PCVs report on the progress of their SPA projects in their regular monthly reports and during occasional office visits.

The Resource Coordinator receives quarterly written reports and receipts from PCVs on the progress of SPA projects. The Resource Coordinator also conducts site visits at the request of the PCV.

### **Accounting for Projects**

Receipts are required of the PCV. These are tallied by the Resource Coordinator and presented in the quarterly fiscal report to USAID.

### **SPA-Funded Technical Assistance**

The PCD passes information on the availability of funds to his staff. If a need is identified, the Resource Coordinator or the APCD presents the request to the PCD and a cable is sent out to Peace Corps Washington, following the work procedure and cable examples provided by SPA/OTAPS. Washington sends budget authority. A purchase order is prepared and signed by the Administrative Officer and the PCD, and is then sent to the Embassy for a check to be prepared.

### **Quarterly Reports to SPA/OTAPS**

When half the ARDN funds have been obligated, the Resource Coordinator files a report with USAID and sends a copy to SPA/OTAPS. Though quarterly reporting is thought to be optimal, the reports are actually prepared bi-annually. Annual status of project reports are also prepared and submitted to USAID.

### **Communication with SPA/OTAPS Concerning Projects**

See "Quarterly Reports to SPA/OTAPS" above.

**INTER-AMERICA REGION**  
**Dominican Republic**

## Dominican Republic

### Program Overview and Management

The first SPA agreement between Peace Corps and USAID in the Dominican Republic was signed in June of 1983. Since that time a total of \$315,000 has been obligated to the program, \$85,000 in Health and \$230,000 for ARDN. According to the 1987 Annual SPA Report, 60 projects were reported in that year for an average cost of \$1,423. The Dominican Republic also makes extensive use of the SPA Technical Assistance funds for activities such as workshops and in-service training based on requests submitted by APCDs and PCVs.

The principal Peace Corps person responsible for the oversight of the SPA program has been the Program and Training Officer (PTO). Most recently that post was vacant for about five months. At the time of the country visit a new PTO had been on site for seven weeks. Since his arrival, the new PTO has taken advantage of USAID's standing invitation to Peace Corps to attend meetings of its committee on small projects. While the principal subject of these meetings is Special Development Assistance (SDA) (of which PCVs receive about 40 percent of the annual funding), the PTO now also briefs USAID on projects Peace Corps has approved for SPA funding. In the interim period the PCD oversaw the program. During this time he gave serious consideration to ending the program because of accounting problems in reporting to USAID on prior projects. The PCD plans for the new PTO to take over responsibilities for the SPA Program and actively manage it. The systems in the Dominican Republic therefore represent a transition period as they attempt to solve current problems and adjust to staff changes.

The USAID Small Project Coordinator spends about three-fifths of his time monitoring SPA activities. He reviews projects for conformity to regulations, maintains files and prepares quarterly reports for SPA/OTAPS and USAID. He also has some current duties in preparing requests for SPA/TA. In these jobs the Small Project Coordinator reports to both the Peace Corps PTO and the USAID Program Officer. The Small Project Coordinator spends the rest of his time coordinating SDA.

Originally it was planned that the Small Project Coordinator would manage both SPA and SDA funds, but the SPA Program has taken the majority of his time. His office time at the Peace Corps Office was based on the need to resolve a backlog of reporting problems; however, Peace Corps reporting problems have not been completely resolved. USAID is considering an increase in the Small Project Coordinator's monitoring role and a decrease in the paperwork and administration with respect to the SPA program in the next agreement.

In early 1988 USAID put a six-month hold on the disbursement of funds from the new amendment to the program because out-

standing funds from previous amendments had not been liquidated. This has been an ongoing problem, occurring as early as 1986 when the then Peace Corps PTO reported a similar freeze on funding. At that time the problem was identified by Peace Corps as an inability to provide receipts within the time frame that USAID required due to late in the year funding and the length of time it takes to get a project implemented and closed. In both "freeze" periods projects continued to be approved but had to wait to be funded.

### Country Agreements

The SPA agreement was signed in 1983 and has been regularly amended for ARDN and Health (since 1984 and 1986, respectively). Fiscal year 1987 was the first time that Dominican Republic stepped up their use of Health funds, obligating \$35,000 in that year.

The original agreement is very specific in setting the structure and limits by which the SPA program will be managed. The only official change in that document to date has been the switch in funding mechanisms for ARDN in 1985. In that year the practice of USAID funding individual community actions was changed to quarterly advances of the yearly totals to Peace Corps. Peace Corps prepares a memo of request to initiate the process. The voucher examiner in the USAID Controller's office confirms that funds are available to cover the request and prepares a voucher which he sends to the USAID Program Officer. The Program Officer administratively approves the voucher for payment. Then the voucher is sent to the Certifying Officer who certifies the voucher. A fiscal telegram is then prepared and sent to RAMC Mexico requesting a check payable to Peace Corps Dominican Republic. The check is mailed to USAID Santo Domingo and Peace Corps comes over to pick it up. Peace Corps Dominican Republic sends the checks to Peace Corps Washington to be deposited in the Dominican Republic country accounts. Periodic reports on amounts spent versus amounts advanced are prepared by Peace Corps and sent to USAID. Periodically the financial analysis section of the USAID Controller's Office goes to Peace Corps and reviews the background documentation for these reports.

Health funds are handled through a direct transfer of yearly funds from the A.I.D. Washington financial management office to Peace Corps Washington who provides Peace Corps Dominican Republic with the accounting information they need to make advances on the balance through RAMC Mexico.

A proposal review and selection process is outlined in the agreement which stipulates a draft and final for any proposal. In both cases action is to be taken to approve or return the draft or proposal one week from the receipt of same. Eligibility and approval criteria are detailed beyond those included in the SPA Guidance and include the following:

- o The activity must result in a quantifiable benefit to the recipient group in terms of improved economic and/or social condition.
- o The activity must be shown to be profitable within a reasonable period of time (one to three years), in the case of competitive enterprise development; or financially viable, in the case of non-profit-making activities, through user fees or some other means of covering recurring costs for the indefinite future. In most cases, evidence to demonstrate the meeting of this criterion will take the form of a cash flow analysis, which will show viability within a determined period of time (less than three years).
- o It must be shown that either the group has pre-existing management capacity to implement the activity effectively, or that the PCV will remain with the activity long enough to train managers to take over responsibility for the activity upon departure of the PCV. Where necessary, assistance of a technical, organizational, administrative or other nature may be requested to help meet this criterion.
- o The design of the activity must involve development (i.e., respond to real or "felt" needs and represent an "appropriate" solution or response, in a lasting sense, to a problem, constraint, or opportunity in the areas of food, energy, competitive enterprise development, and/or income-generating activities).
- o The recipient group must fit within the generally accepted characteristics of the A.I.D./PC target group, i.e., economically and socially disadvantaged and without access to resources provided by other commercial or governmental sources of assistance.

No evidence was found that these criteria were met. There are no formats for feasibility or cost benefit analysis, no follow-up strategies, and no reporting on these issues to date.

Funds from each yearly SPA amendment are used by the Peace Corps Post until they run out. Health funds were on the 1988 amendment but ARDN was still using 1986 amendment funds at the time of the country visit. One USAID complaint about Peace Corps accountability is that funds are not used quickly enough, sometimes having been obligated for as long as a year and a half before being used. USAID looks to a quarterly liquidation and disbursement system, and the Peace Corps has not adhered to this pattern. Another difficulty is the high rate of inflation, which often results in materials costing more than budgeted. No system for dealing with this problem was reported.

## **Project Approval**

1. The APCD agrees with the PCV that the project is viable and meets the criteria for SPA funding. This is done via a draft proposal for the project. The APCD and the PCV work together on the content of the proposal and budget.
2. The APCD visits the community and meets with community members to ascertain their involvement in the project and the actual need for the activity.
3. A final proposal is prepared by the PCV and reviewed by the APCD. If the APCD approves it, it is passed first to the USAID Small Project Coordinator, who reviews it for conformance with regulations, and then to the Peace Corps PTO or PCD.
4. The PTO or Director approves the project.

Project costs are generally limited by Peace Corps Dominican Republic policy to about \$1,500, but exceptions may be made.

In addition, APCDs have applied other informal criteria, including the principle that a community should start the project first and not rely on SPA as the only source of possible funds for its completion, in order to qualify for submission to SPA funds. This philosophy is meant to demonstrate community commitment to the activities they want to undertake and places ownership of the activity in the hands of the community.

USAID bases its guidance for project approval on three criteria: 1) the priority distribution for projects illustrated in their yearly country development plans; 2) Peace Corps guidance; and 3) Peace Corps interest based on other sources of funding.

## **Additional Host Roles in the SPA Program**

At the local level there is a variety of possibilities for participation in the SPA program. Local officials are sometimes partners in the conduct of projects, and local technicians and promoters are sometimes assigned to support projects. Signing ceremonies are also part of beginning a SPA project in some cases.

## **Disbursement to Projects**

The system for disbursement of funds is the same for ARDN and Health projects.

1. The Peace Corps Cashier receives an approved project request form, signed by the PTO or PCD.

2. The Cashier fills out a purchase order requesting a check prepared on ARDN or Health funds in the the name of the PCV and a community member.
3. The Cashier logs this information into a journal for ARDN projects or Health projects.
4. The Cashier then takes the purchase order to the PCD (or the PTO in the director's absence) for signature for "Approved for Payment."
5. The cashier makes seven copies of the purchase order and all proposal documents.
6. The cashier sends the original and four copies to the Budget and Finance (B&F) Office at the U.S. Embassy as a check request. Three copies stay at Peace Corps (one to the project file, one to the administration office for chronology, and the last to the PCV's file).
7. The B&F Office at the U.S. Embassy receives the request, verifies that sufficient funds under the indicated purpose codes (28 for SPA Health, 27 for ARDN) are available, deducts that amount from the balance, initials the request and sends it on to the B&F Officer.
8. The B&F Officer certifies (by signature) that sufficient funds exist.
9. B&F telexes RAMC Mexico, requesting a check in the local currency equivalent.
10. RAMC prepares the check and mails it to the US Embassy in Santo Domingo.
11. The Embassy calls the Peace Corps Cashier and advises that the check has arrived.
12. The Cashier goes to the Embassy and picks up the check.
13. The Cashier logs the check into the check control book in the Peace Corps Administrative Office.
14. The Cashier sends a note to the PCV that the check for the project has arrived.
15. The PCV comes to the office and signs for the check.

Generally, project money has been advanced in lump sums for the total cost of the activity. The practice will now change to advance one-half the amount immediately, and the second half when the receipts for the first half have been cleared. The turn-around time for checks from RAMC Mexico is two to five weeks.

## **SPA Project Tracking Mechanisms**

PCVs write reports to their APCDs. If there are problems, the APCD visits the project; otherwise, visits to the PCV happen about 3-4 times per year, and may or may not include a visit to the SPA project. More tracking happens through personal contact than writing. The PCV will usually have an annual meeting with the project leader to talk about the project. The report of this meeting is sent to the PTO.

The Small Project Coordinator maintains the project files. He reviews proposals to make sure they meet the guidelines for the program and are complete. He also sees that regulations are followed during the conduct of the project and that documentation is completed.

## **Accounting for Projects**

PCVs turn receipts over to the Small Project Coordinator, who reviews them for proper preparation and total.

## **SPA-Funded Technical Assistance**

To apply for SPA/TA, an APCD prepares the request and budget. The Small Project Coordinator receives the written requests from a PCV or APCD and prepares the cable to Washington. The PTO reviews and approves the request and sends it to SPA/OTAPS.

The APCD usually does not handle the funds. He approves receipts and asks the cashier to make payments. He may sometimes receive a cash advance from the cashier, to pay an advance to a hotel, for example, bringing back the receipt to the cashier.

The Peace Corps Cashier requires receipts and vouchers from the PCV or APCD to liquidate advances. If the cost is under \$250 the advance is made from the Peace Corps Imprest fund and funds not spent are returned. If the cost is \$250 or more, a check is issued from RAMC Mexico (using the same approval and request procedures as for SPA Projects). Any unused money is returned to the Administrative Office for deposit to the U.S. Treasury under the same purpose code under which it was advanced. The advance is cleared with receipts.

When the activity is completed the SPA Coordinator receives an Activity Completion Notification from the person responsible for the activity. These are sent to Washington on a quarterly basis.

## **Quarterly Reports to SPA/OTAPS**

Quarterly reports are prepared by the Small Project Coordinator. Project documents including proposals and agreements, ACNs and special reports are included. These are copied to USAID.

## **Communication with SPA/OTAPS Concerning Projects**

Any communications are included in the Quarterly reports.

**INTER-AMERICA REGION**  
**Honduras**

## Honduras

### Program Overview and Management

Peace Corps and USAID first signed an agreement to conduct the SPA Program in Honduras in 1983. Since that time they have obligated a total of \$205,000 to SPA projects, which includes \$160,000 for ARDN and \$45,000 for Health projects. Honduras reported 36 SPA projects in the 1987 SPA Annual Report for an average cost of \$1937. Peace Corps Honduras is also one of the largest users of SPA Technical Assistance.

ARDN funds are no longer used by Honduras; they have been replaced by funds from the Economic Stabilization and Recovery Program (commonly abbreviated ESF) since 1987. These funds are managed under the same general guidelines as the previous ARDN funds but are not limited to food production, income generation and energy related projects and are not SPA funds. The FY88 agreement between Peace Corps and USAID for ESF provided a budget of \$102,500 for projects like ARDN projects (though not limited to those subjects), \$7,500 for Trickle-up projects, \$30,000 for salaries, and \$10,000 for vehicle maintenance and office supplies. SPA Health funds are provided via Washington, as they are elsewhere.

Both funds are managed out of the Peace Corps Office of Small Project Assistance (not to be confused with SPA, the world-wide program). The office is managed by the Small Project Assistance Coordinator and her assistant, both full time employees paid with the salary portion of the ESF funds.

A Small Project Assistance Committee reviews SPA Health and ESF projects for funding, as well as reviewing and setting policy for the use of both funds. The Peace Corps PTO chairs the Small Project Assistance Committee. Other members include an APCD, three PCVs, the Peace Corps Small Project Assistance Coordinator, and the USAID Small Project Assistance Coordinator. The USAID Small Project Assistance Coordinator position is held by the Assistant Financial Officer from the Development Finance Office.

The Peace Corps Small Project Assistance Office conducted an evaluation of 83 of the SPA and ESF projects conducted in fiscal years 1985 through 1987. This was done by having PCVs, at the conclusion of their projects, fill out a survey format along the lines of a modified ACN. The Peace Corps Small Project Assistance Coordinator's findings in the review of these interviews were positive and have provided encouragement to continue the present approach.

### Country Agreements

Agreements for SPA ARDN and Health funds have been made on a regular basis (ARDN from 1983 to 1986 and Health from 1986 to

1988). The agreements are straightforward and contain little deviation from the worldwide program. Exceptions to this are included in the section on approval. Country-specific guidelines include the following:

1. A determination by the requesting Peace Corps Volunteer is required as to whether the community can execute and maintain the proposed project on its own, or will require assistance from a Peace Corps Volunteer.
2. Although income-generating projects are encouraged, SPA funds may not be authorized for the creation of small credit agencies or funds; experience indicates that these rarely function for more than a few years without continued inputs of outside resources.

When funds are low in the Health account, the Small Project Assistance Coordinators at Peace Corps and USAID plan the next amendment. Approximately three months before the end of the fiscal year, the Peace Corps Small Project Assistance Coordinator draws up an amendment for the Health agreement and the Peace Corps Director signs off. The amendment is then sent to USAID where it goes through a clearance procedure (including the Project Officer, Accounting, and the Mission Director) which may take as long as six weeks. The amendment is sent back to Peace Corps and a "conformed" copy is sent to SPA/OTAPS. SPA/OTAPS cables budget authority to Peace Corps Honduras. If there are funds remaining at the end of the fiscal year, these are de-obligated and re-obligated for the following fiscal year.

Amendments to the ARDN agreement are no longer made. Agreements for use of ESF are made between Peace Corps and USAID, and then approved by the Ministry of Interior. This process usually takes a couple of months, so Peace Corps initiates the process about six months before the funds are needed. The original agreement for ESF funds has not been changed.

Local currency accounts are held in trust funds internal to USAID. ESF is disbursed using the old ARDN system. Peace Corps requests advances from USAID on a more-or-less quarterly basis. These funds are deposited in a local Peace Corps bank account, and the PCD writes checks to cover individual project costs according to the disbursement schedule established for the project. The account is a three-signature account, requiring the signature of two of the following: PCD, PTO, and Executive Officer (EO). Outstanding funds must be cleared, at least in part, before additional funds can be advanced. The large number of ongoing projects at any given time slows this process down. ESF is accounted for quarterly with summary statements, financial status of projects reports, a list of projects approved, ACNs, copies of bank reconciliations, estimated cash needs for the next quarter, quarterly balances and liquidation vouchers.

## Project Approval

ESF projects and SPA Health Projects follow the same approval process:

1. The PCV and the community group develop an idea which is presented to the APCD using a "Project Concept" form. If in agreement, the APCD approves the concept. The APCD may first meet with beneficiaries to determine the need for the project.
2. The concept paper is then approved by the Small Project Assistance Coordinator, and the PCV is given a packet of information about Small Project Assistance projects, and instructions for completing a project proposal.
3. The PCV develops a proposal. The proposal is to be written in Spanish, in collaboration with the community. The draft is usually reviewed by the APCD, who may make suggestions. The budget for the project is developed.
4. A final draft is reviewed by the Small Project Assistance Coordinator, classified, assigned an IAA number (or ESF designation), and logged in the Small Project Assistance Coordinator's records. The approval sheets are added. These documents are sent to the APCD for completion. The APCD signs off on the Volunteer's capability to do the job and notes the COS date.
5. The approval sheet and the final draft are sent back to the Small Project Assistance Coordinator, who photocopies them and distributes them to Small Project Assistance Committee members at least one week before the monthly meeting.
6. All projects for more than \$500 are passed through the Committee. Those for \$500 or less bypass the Committee and are approved by the PCD. At the Committee meetings, projects are approved, conditionally approved pending additional information, or disapproved.
7. The PCV is notified to complete the IAA (from information in the proposal), have it signed by a community leader, and then send it to the Peace Corps Small Project Assistance Coordinator. This can be done by mail to save the PCV a trip to Tegucigalpa.
8. Approved projects are then sent to the PCD, who signs off, and the EO, who reviews the IAA for completion of necessary accounting information, ensures that all signatures are in order, debits the project cost in her records, and verifies the check or purchase order according to the disbursement schedule. After this document review, the check or purchase order will be signed.

## **Additional Host Roles in the SPA Program**

The use of ESF must be cleared for each amendment by the Government of Honduras. There are no other roles in the use of SPA or ESF at the national or regional levels.

At the local level the participation of local agencies is encouraged in order to provide a mechanism for follow-up support to communities after the PCVs have finished their service.

## **Disbursement to Projects**

Health Funds are accessed with vouchers for checks payable to PCVs. Checks may also be written to vendors in dollars if necessary. The voucher is prepared by the Assistant to the Small Project Assistance Coordinator, reviewed by the Executive Officer and signed by the PCD. The check request is then sent to RAMC Mexico. Projects for large sums may have a schedule of several disbursements. All checks are made out to the PCV. The PCV is advised to open a new project account with a co-signature, especially if it is a large sum of money. Volunteers may come in to pick up the checks, or they can be deposited in the PCV's account to save the PCV a trip to Tegucigalpa. Health checks are prepared in four weeks. For ESF funded projects a check is written by the PCD on the local Peace Corps Small Project Assistance account for the total amount or a portion of the total.

## **SPA Project Tracking Mechanisms**

The Peace Corps Small Project Assistance Coordinator and her assistant track the disbursement and liquidation of individual projects. They are currently developing a data base to assist in this process. She also visits about half the projects each year.

PCVs use Expenditure Summary Sheets to track their project costs, and include written reports of their project activities in their regular quarterly work reports.

There are no special tracking methods for SPA and ESF projects used by the APCD. The project becomes one of the Volunteer's activities that the APCD tracks by maintaining a file on the PCV. Regular site visits include interviews with the community members involved in PCV work. SPA work is also reviewed in conferences with PCVs when they come in to the office.

## **Accounting for Projects**

PCVs turn receipts and expenditure summary sheets in to the Peace Corps Small Project Assistance Coordinator, who liquidates the health projects using the voucher system and working through the Peace Corps Administrative office and the Budget and Finance Office of the Embassy.

## **SPA-Funded Technical Assistance**

1. In general, APCDs identify the technical assistance needs for their technical programs. An APCD prepares an idea and works with the PTO, the EO, and the APCD for Training to develop the content of that request.
2. The PTO clears the request and the APCD prepares a cable which is authorized by the PTO. The cable is then sent to the Regional PTO for the Inter-American Region, with attention to the actual funding source in OTAPS, if known.

The post tries to identify the bulk of its requests in the CMPB. APCDs may also respond to cables from Washington which identify new resources or they may develop proposals based on needs not identified at the time the CMPB was prepared.

For SPA-funded activities, budget authority is sent from SPA/OTAPS. The budget authority is then used to request checks from RAMC Mexico.

For reporting, the APCD prepares a list of expenditures in each category of the approved budget, accounting for all funds. Liquidation of the funds is then completed by the Peace Corps Administrative Office through the Budget and Finance Office of the Embassy. A written statement is prepared and passed to the APCD for Training, the Executive Officer, and the PTO.

The Executive Officer handled over \$120,000 of OTAPS Technical Assistance in Honduras in the past year, which corresponds to about fifty events. The PTO noted a need to coordinate these activities through quarterly planning in Honduras.

## **Quarterly Reports to SPA/OTAPS**

Until recently, it was not clear that quarterly reports were required for Health SPA. These reports are now prepared quarterly by the Small Project Assistance Coordinator, reviewed by the Executive Officer, signed off by the Peace Corps Director, and sent to SPA/OTAPS. Quarterly reports at SPA/OTAPS contain a Summary, a financial status of projects report, and the ACNs. ESF funded projects are no longer reported to Washington.

## **Communication with SPA/OTAPS Concerning Projects**

It was not clear to Peace Corps Honduras that they were to send IAAs and ACNs for Health projects to SPA/OTAPS. They are now planning to send the IAAs in as they are approved, and the ACNs with the quarterly reports.

**INTER-AMERICA REGION**  
**Jamaica**

## Jamaica

### Program Overview and Management

The Small Project Assistance program began in Jamaica in 1983 with an initial obligation of \$40,000 for ARDN projects. Through May 1988, Peace Corps and USAID had obligated a total of \$210,000: \$45,000 for Health projects and \$165,000 for ARDN projects. Peace Corps Jamaica reported 16 projects in the SPA Annual report for an average cost of \$3826. Peace Corps Jamaica was not a frequent user of SPA/TA in FY 86 and 87 but SPA/TA did support participation in three outside events and a Beekeeping IST.

The SPA program is managed by the APCD for Health who has served as the SPA Coordinator since 1984. In this position she is responsible for much of the counseling and training concerning the content and conduct of SPA projects. She maintains project files, chairs the SPA Committee and acts as liaison with USAID. The position of SPA Coordinator for USAID is filled by the Evaluation Officer in the Office of Program and Evaluation. She coordinates with Peace Corps and the relevant offices of USAID, as well as serving on the SPA Committee.

The SPA Committee consists of a representative from USAID (the SPA Coordinator), a representative from the Jamaican private sector (Manager of the Jamaican Organization for the Deaf), the Peace Corps SPA Coordinator (an APCD), three PCV coordinators and two other PCVs. The Committee reviews projects for approval. At the time of the country visit, the Committee was also reviewing the forms that PCVs use for proposals.

### Country Agreements

Yearly amendments to the 1983 agreement are prepared by the USAID SPA Coordinator when available funds are low. The SPA Coordinators at Peace Corps and USAID obtain the necessary inputs and clearances for the amendments. The amendments are then signed by the Directors of USAID and Peace Corps. The amendments may be made at any time during the year. The funds are then available for two years.

ARDN funds are disbursed on a project-by-project basis by USAID in response to a voucher request for a check, payable to the Peace Corps Volunteer and the project group, for all project funds. These advances are liquidated through the submission of no-pay vouchers which summarize all project expenses on a quarterly basis.

Health funds are placed in the Peace Corps budget for Jamaica and disbursed on a project-by-project basis. Left-over funds are rolled over to the next year.

## Project Approval

1. A PCV develops an idea for a project, usually as an extension of their work experiences.
2. The idea is presented to the Peace Corps SPA Coordinator for informal review. The Peace Corps SPA Coordinator asks for more information where ideas are unclear and provides direction as necessary. Projects are reviewed in terms of being well thought out.
3. The Peace Corps SPA Coordinator works on drafts of the proposal with the Volunteer. After revisions are completed, the PCV gets signatures of approval at the community level. The proposal is then passed to the SPA Committee for evaluation. Proposals should be in four days prior to the monthly committee meeting.
4. At the meeting, the committee reviews the proposal and usually approves a project or sends it back for more information. The project may be approved pending the additional information or the PCV may be asked to rework and resubmit the proposal to the committee. A proposal may also be sent back as refused.
5. When the committee has approved an ARDN project, it is sent to USAID. The USAID SPA Coordinator determines its ARDN classification and refers it, if necessary, to the appropriate USAID in-house technical officer for opinion. The evaluation officer reviews the budget for project content, sources, costs, marketing, etc., monitoring and evaluation expectations. It is then sent to the Controller's office to determine the availability of funds and returned to Peace Corps. At this point, the proposal is signed by the Peace Corps Director and approved.

Health projects approved by the committee are signed by the Peace Corps Director and funded through the Administrative Office of Peace Corps.

Peace Corps Jamaica has some project criteria which are post specific, including:

1. For income generation projects, some business skills must be demonstrated or business skills transfer must be incorporated into the project.
2. No PCV may have more than one SPA funded project at any one time.
3. SPA costs for ARDN projects should not exceed \$5-6,000.
4. SPA costs for Health projects should not exceed \$3-4,000.

5. Letters of support from agencies should be provided in the proposal as appropriate.
6. Pro forma invoices (estimates) for costs covered in the budget should be provided in the proposal as appropriate.

#### **Additional Host Roles in the SPA Program**

At the Parish level, government department heads may sign off on projects or merely be informed of their nature as appropriate. Heads of local agencies (both government and private voluntary organizations) in which PCVs work may be involved in the active management of specific projects.

#### **Disbursement to Projects**

##### **ARDN**

The Peace Corps SPA Coordinator or her PCV Coordinator prepare a request for funds voucher. This is sent to the USAID SPA Coordinator who certifies it for payment and forwards it first to the USAID Accounting Officer for review, then to the voucher section, where obligating data is added. The voucher and a request for a check are sent to the Controller, who certifies it and forwards it to RAMC Mexico. In two to three weeks a check made out to the PCV and the project group is received at USAID.

In an emergency USAID will make a disbursement from their cashier and get a reimbursement.

##### **Health**

Peace Corps prepares a request for a check from RAMC Mexico in local currency for the total SPA cost of the project. The check, made payable to the PCV and the group, arrives at Peace Corps three to four weeks later. Items to be purchased in dollars may be made through a purchase order request through RAMC Mexico.

For both ARDN and Health projects, when the check arrives, it is sent to the Peace Corps SPA Coordinator who passes it to the PCV. The PCV is instructed to open a three-signature account on which withdrawals must be countersigned by the PCV and one of the two authorized community members.

#### **SPA Project Tracking Mechanisms**

PCVs are responsible for the following items to be turned in to the Peace Corps SPA Coordinator:

1. Receipts at quarterly intervals.

2. A thirty-day report outlining progress in the project to date.
3. Quarterly reports thereafter.
4. An ACN.

### **Accounting for Projects**

#### **ARDN**

The Peace Corps SPA Coordinator liquidates expenditures for all active projects every quarter by sending a no-pay voucher to USAID with a roster of receipts for all disbursements made during the quarter for those projects.

#### **Health**

In principle, Volunteers get receipts for all purchases and give them to the SPA Coordinator. No projects have been recently closed out and the system remains to be defined.

#### **SPA-Funded Technical Assistance**

Peace Corps Jamaica responds to quarterly cables sent out by SPA/OTAPS. These are discussed in staff meetings. The post plans most of its activities and outlines them in the country CMPB; additional requests are identified and passed to the PTO who sends them out for funding.

The Peace Corps Administrative Officer keeps running accounts of purchases made against budget codes authorized by Peace Corps Washington for various activities. Each purchase code is totaled at the end of the year. Final statements on SPA/TA activities are cabled to SPA/OTAPS. No separate books are kept on individual activities, and no detailed information or yearly summaries could be found on accounts for past activities.

#### **Quarterly Reports to SPA/OTAPS**

In principle, IAAs and ACNs are sent off to SPA/OTAPS on a quarterly schedule. In practice, they are sent less often.

#### **Communication with SPA/OTAPS Concerning Projects**

See "Quarterly Reports to SPA/OTAPS" above.

**INTER-AMERICA REGION**  
**Paraguay**

## Paraguay

### Program Overview and Management

Paraguay joined the SPA program in 1983, with the first agreement between A.I.D. and Peace Corps in that country for \$40,000 of ARDN funds. Since that time \$290,000 have been committed, \$45,000 for Health projects and \$245,000 for ARDN. Paraguay has also used a modest amount of SPA Technical Assistance funds for activities such as workshops.

The SPA program is managed by the Program and Training Officer (PTO), who sees his role as facilitating the entire process, "making sure the right things happen". He indicated that this includes:

- o orienting PCVs during training and during their service to the advantages and disadvantages of PCVs helping communities obtain financial resources; to the various funding sources and when each may be appropriate; to the conception and preparation of project activities and funding requests; to assisting in the execution of projects; and to accounting and other reporting;
- o establishing effective methods and mechanisms for:  
(a) assisting PCVs in carrying out their proper roles in helping communities conceive projects and present them for funding; (b) the review and approval process within Peace Corps; and, (c) supporting and reinforcing the execution of projects (SPA and others);
- o assuring proper reporting and accounting to Peace Corps Paraguay, to OTAPS, and to A.I.D.

To these ends, the PTO developed: (a) a manual for PCVs regarding SPA; (b) overhead visuals to accompany a talk on the pitfalls and potential of SPA and other funding sources; (c) a control sheet for monitoring the presentation, approval, and reporting of SPA projects; and (d) a checklist including Peace Corps Paraguay additional criteria.

He is now working on institutionalizing SPA management by delegating certain program management activities to others: to the Executive Secretary (approval mechanisms, records); to APCDs (coaching PCVs considering or preparing funding requests); and to the Administrative Assistant (instructing PCVs on receipts and accounting requirements).

A SPA Committee, composed of Peace Corps staff, an A.I.D. representative and PCVs, meets to discuss proposals and provide review, comments, and modifications to projects as necessary, in order to ensure they comply with SPA criteria for technical, financial, and organizational viability.

## Country Agreements

Agreements between A.I.D. and Peace Corps are signed by the Peace Corps Director and the A.I.D. Representative for Paraguay. These agreements and amendments are signed near the end of the fiscal year, ARDN before Health (though they may both be signed on the same day). The information is then cabled to Peace Corps Washington.

The original agreement outlines project eligibility criteria beyond those in the guidance for the worldwide program, and includes the following:

1. stipulations regarding the nature of the groups that may be funded (i.e., they may be profit-making as long as conditions are met with respect to profits and shares as members come and go from the group);
2. the activity must result in a quantifiable benefit to the recipient group in terms of improved economic or social conditions;
3. the activity must become profitable within a reasonable amount of time, and the conditions under which that profit is to be measured;
4. the group must demonstrate or develop management capacity;
5. the design of the project must be developmentally sound and provide an appropriate and lasting solution to a "felt need;" and
6. the group must fit within the generally accepted characteristic of an A.I.D./Peace Corps target group, that is, it should be without access to resources from other commercial or governmental groups.

Some of these additional criteria have been found in other country agreements (Thailand and the Dominican Republic) and, as in those cases, no guidelines for meeting these criteria or evaluating their impact have been established.

The accounting and disbursement mechanisms detailed in the agreement have changed, and are currently practiced as they are described here. No amendment has been made to the original agreement.

For ARDN, disbursement of yearly funds begins with a request by memo to A.I.D. for a partial disbursement of the yearly agreement (e.g., \$20,000 of the \$40,000 agreement). The A.I.D. Project Manager reviews the request and signs it. The Accountant prepares a voucher and sends it to Buenos Aires. The check is sent to the U.S. Embassy cashier, who advises Peace Corps that it has arrived. Peace Corps authorizes an employee to pick up the check. Peace Corps receives a check from A.I.D. for the amount

requested in dollars. The check is deposited in a Peace Corps account at the Budget and Finance section of the U.S. Embassy.

The Peace Corps administrative office prepares quarterly reports on the SPA program by fiscal year, showing the amount authorized, disbursed and balance sub-obligated to projects. These are sent to A.I.D. where they are reviewed by the Project Manager and Accountant who determine the financial progress and whether to approve the next disbursement. Peace Corps also submits a quarterly rendering of accounts, which reports expenditures against dollar advances. The A.I.D. accountant reviews these and the receipts and vouchers to verify their appropriateness. These documents are prepared for ARDN projects only.

For Health funds, the total amount of the yearly agreement is placed in Peace Corps accounts by way of Peace Corps Washington, and can be drawn on in local currency.

All funds are usually spent within the year they are obligated. Some 1987 funds are still available until 1989.

The program is evaluated on an informal basis once a year by a joint management meeting between Peace Corps and A.I.D.

#### Project Approval

1. The PCV works on the design of the project, consulting with the APCD and PTO as needed for help.
2. The PCV and the community work together to write a proposal in Spanish.
3. The proposal is typed and submitted to the APCD for approval.
4. The proposal is then distributed by the executive secretary to SPA Committee members.
5. The committee meets and discusses proposals. They frequently call PCVs to the meeting to answer questions. When all the questions have been answered each committee member indicates agreement by signing the IAA checklist.
6. A conditional approval may be given where a re-write or additional information is needed.
7. If satisfactory, the PCD signs approval.

Paraguay uses the IAA checklist for the approval of projects and has added a few additional criteria having to do with direct funding of organizations and groups. These include: (1) that the proposal provides a detailed description of the community group requesting financial assistance, including legal status, group organization, and regulation of group members; (2) evidence

that community groups have a history of working together effectively; (3) that the proposal describes an efficient system for management of SPA funds; and (4) that the project does not require long term support (or that the Program Manager has submitted a document stating intentions of continued Volunteer support).

In addition to the checklist, other qualifications for SPA projects are spelled out in the Peace Corps Paraguay handbook in addition to the worldwide criteria. These include;

1. The activity must result in a quantifiable benefit to the recipient group in terms of improved economic and/or social benefit.
2. The recipient group must fit within the generally accepted characteristics of the A.I.D./Peace Corps target group, i.e., economically and socially disadvantaged and without access to resources provided by other commercial or governmental sources of assistance.
3. SPA grants are made to community groups who are working with Peace Corps Volunteers. Therefore, both the PCV and the community group are responsible for submitting the proposal, setting up and implementing the project, and reporting on the completed project.

#### **Additional Host Roles in the SPA Program**

There are no formal roles at the national level, though there have been requests for SPA Health funds to be turned over and managed at this level. National-level authorities have also proposed projects which were then accomplished at the community level. Regional and local authorities sign off on concurrence with the proposal, and sometimes provide labor, in-kind donations and funds to projects.

#### **Disbursement to Projects**

1. A project approved by the SPA committee and signed by the PCD is passed to the Administrative Assistant at Peace Corps. A voucher is prepared requesting a check in local currency according to the disbursement schedule indicated on the IAA. This may be one or two checks depending on the project's needs. The check is made payable to the committee or commission responsible for the project's implementation. A copy of the IAA is attached to the voucher, the voucher is signed by the Peace Corps Director and sent to the U.S. Embassy.
2. The Embassy forwards the request to Buenos Aires.

3. A check arrives in about three weeks. The Administrative Assistant advises the PCV and the community representative to come and pick up the check within 30 days. The check is usually collected within two weeks along with a letter signed by the PCD stating that the representatives of the committee or commission are authorized to cash the check in the name of the group. The Administrative Assistant takes the opportunity to instruct them in how to keep the required records and provides them with a written guide for this activity.

### **SPA Project Tracking Mechanisms**

APCDs receive quarterly reports and ACNs from PCVs. These are also forwarded to A.I.D. SPA project review is also required as part of regular site visits conducted by APCDs.

### **Accounting for Projects**

1. Peace Corps Volunteers bring in quarterly reports on expenditures to the Peace Corps Administrative Assistant.
2. The Peace Corps Administrative Assistant and the Cashier review the receipts for accuracy and completeness. Any shortcomings are returned for correction if possible.
3. For ARDN the originals are sent to A.I.D. for review. For Health the receipts are kept in a file available for auditing by Peace Corps or A.I.D.

A.I.D. and Peace Corps in Paraguay differ on what constitutes reasonable vouchers and receipts for liquidating moneys advanced for SPA projects. The Peace Corps Director has had the authority to certify that vouchers not covered by complete receipts were proper and in accordance with the terms of the program. This was spelled out by the previous Regional Controller, who recognized, and indicated in writing, that proper receipts would sometimes not be obtainable due to the nature of the SPA Program. The A.I.D. Paraguay accountant said the new Regional Controller would have to "approve" this policy, which was never incorporated into the program agreement, for it to continue.

### **SPA-Funded Technical Assistance**

Requests are developed by APCDs and given to the PTO, who writes them up with the APCD. The PCD signs off on these requests and then the PTO handles the communication with SPA/OTAPS. Short requests are cabled, longer ones are pouched. The post tries to identify technical assistance needs in the CMPB, handling additional requests as they occur.

A financial statement for each SPA/TA activity is sent by cable to SPA/OTAPS by Peace Corps Administration along with an indication of when the written report will be sent (following the proposal format). This is done by collecting all receipts, which are totaled and itemized. This process only began in 1988, as did the practice of keeping separate files including accounting information on each activity.

#### **Quarterly Reports to SPA/OTAPS**

Financial quarterly report data is sent to SPA/OTAPS by cable.

#### **Communication with SPA/OTAPS Concerning Projects**

The Peace Corps Executive Secretary sends the IAAs and ACNs to SPA/OTAPS as they are completed.

**NANEAP REGION**  
**The Philippines**

## **The Philippines**

### **Program Overview and Management**

The SPA country agreement was signed in July 1983 with an amendment to include Health in 1986. To date the post has made agreements for \$330,000 in project funds with an average cost per project of \$2,424 in 1987. Of these project funds, \$240,000 has been directed towards ARDN projects and \$90,000 to Health projects. The Philippines makes little use of SPA Technical Assistance funds beyond occasionally attending activities sponsored at the regional or worldwide level.

The SPA program is principally managed by the Peace Corps Program Officer and her assistant, who also serves as the SPA Coordinator. All paperwork management and tracking is conducted by the SPA Coordinator. The Program Officer is responsible for final approval at the Peace Corps level, oversight of the program and liaison with USAID.

USAID plays an active role in the approval of projects, while all disbursement and accounting activities are conducted by Peace Corps.

### **Country Agreements**

The country receives yearly cables from Washington stating that funds for ARDN and Health SPA are available. Peace Corps Philippines then prepares the annual amendments to the original agreements for ARDN and Health and sends them to the USAID Office of Food for Peace, where the SPA program is managed. That office reviews the amendments, maintaining an option to have them reviewed by USAID lawyers as necessary. The amendments are then passed to the USAID Director for signature. The signed agreements are sent back to Peace Corps and cables are sent to Peace Corps Washington indicating that the yearly amendments have been signed.

A.I.D. transfers separately both ARDN and Health funds through Peace Corps Washington. Peace Corps Washington notifies Peace Corps Philippines when the funds are available for their use and identifies the separate accounting codes to be used. The only management difference for the Peace Corps Post between these two funds is the accounting designations.

Usually all the ARDN funds for each annual amendment are committed within the year of the amendment. Last year was an exception, when \$9,000 of 1987 ARDN funds were rolled over for a 1988 beginning balance of \$49,000. No concurrence from USAID is necessary to roll these funds over for one year. Peace Corps Philippines expects to roll these funds over through Peace Corps Washington as needed; however, USAID sees them as appropriately spent only in the year designated by the amendment itself.

Health funds are committed at a rate of \$30,000 a year, with two amendments of \$15,000 each. The second amendment is only made when the post is notified by Peace Corps Washington that the funds are available (later in the year).

The country agreement which established the SPA program was signed July 26, 1983. That document outlines the Philippines SPA program and follows the Memorandum of Understanding between A.I.D. and Peace Corps on the use of SPA funds with some additions. First, funding of individual projects is to be conducted by Peace Corps Philippines by preparing local currency checks payable to local governments or community organizations. This was later amended to include the option of payment to Peace Corps Volunteers. This latter alternative is the one most commonly used by the post. Second, procurement of all goods and services needed for a project should be conducted during a period not exceeding ninety days for any project. Third, under the section entitled Project Purpose and Scope, the agreement spells out further requirements on the scope of projects:

"Activities proposed for funding must be consistent with objectives of the U.S. Congressional Mandate, the Peace Corps Philippines Country Strategy Statement, the A.I.D. Country Development Strategy Statement, and the Five-Year Philippine Development Plan (1983-87). It is understood, however, that some flexibility will be maintained outside of program priorities due to their individual merit."

### Project Approval

1. Initially, PCVs are to discuss the project idea with their Regional APCD. Questions which the APCD may not be able to answer are passed on to the Program Officer. The initial discussion may or may not center around a drafted proposal.
2. The APCD suggests changes (such as clarification of goals and greater encouragement of community contributions by the beneficiaries and local government).
3. National or Regional Host Country Government officials have no formal roles in project approval, though occasionally projects are recommended or endorsed at the regional level. At the local level, provincial and municipal leaders may provide letters of recommendation, as do supervisors of PCVs who are posted to local agencies. Local authorities also provide technical expertise and backstopping in many of the projects. A community member always signs the Individual Activity Agreement.
4. The PCV makes modifications, obtains relevant letters of recommendation, and prepares the proposal for submission.
5. The APCD reviews the final proposal and prepares a recommendation for approval to the Program Officer. The

individual activity checklist (as it appears in the guidance) is used.

6. The Program Officer often makes additional modifications in the project and follows up on those modifications through the APCD or directly with the PCV.
7. The SPA Coordinator reviews the proposal for the Program Officer, paying special attention to the budget and the presence of a community counterpart who will backstop the project after the PCV's service is completed.
8. The Program Officer approves the project and sends it to USAID with a cover memorandum requesting concurrence in approval.
9. USAID receives the proposal in the office of Food for Peace. The Chief of Food for Peace and his assistant read the proposal. The Assistant then routes the proposal to other USAID offices as needed (i.e., program office and lawyers). Additional background information may also be requested from the Peace Corps Program Officer by phone.
10. The Assistant prepares an opinion for the Chief of Food for Peace who approves the project by sending a memorandum of concurrence to Peace Corps. At this point the project is formally approved.

#### **Additional Host Roles in the SPA Program**

National and Regional governments are kept current on the SPA program through quarterly reports on Peace Corps activities sent to offices at the national level. They have no official roles in the design and conduct of individual projects.

National and Regional government representatives are commonly involved in the planning and implementation of activities funded with the SPA Technical Assistance funds, though these roles are not officially acknowledged.

#### **Disbursement to Projects**

Disbursements for ARDN and Health projects are handled in the same way, but using different accounting codes.

1. Once a project has been approved, the Peace Corps SPA Coordinator prepares a memorandum for the Budget and Finance (B&F) Officer at Peace Corps.
2. Upon receipt of this paperwork, the B&F Officer verifies the budget calculations and forwards the approved proposal to the American Embassy's Peace Corps Accounting Section with a check request for the total SPA costs of the project.

3. The Embassy prepares a check in ten working days and sends it to the B&F office at Peace Corps.
4. The B&F office notifies the SPA Coordinator that the check has been received.
5. The SPA Coordinator notifies the PCV by telegram that the check is available. The PCV may arrange to
  - A. Receive a check payable to the PCV, to be picked up personally.
  - B. Receive a check payable to the PCV, to be sent to a personal Savings Account through telegraphic transfer.
  - C. To receive a check payable to the group to be sent to a Savings Account through telegraphic transfer.

In case A, there is a 30-day holding period at the bank for a check deposited by the PCV to an individual account. In case B, the funds are available immediately. For cases B and C, Peace Corps deducts the charges for sending the money via telegraphic transfer from the total amount of the project funds.

APCDs report that PCVs commonly open new accounts with double signatures of the community group representative and themselves. No cases of checks being made to groups were reported.

### **SPA Project Tracking Mechanisms**

**APCD:** APCDs receive quarterly reports from their Volunteers. If the PCV is conducting a SPA funded project, a status report on that activity should be included in the report. APCDs also conduct site visits, which are scheduled three visits per Volunteer in each two-year period. At the time of the site visit the APCD may review the SPA-funded activity. Because sites are often difficult to get to, an APCD may choose to rendezvous with the PCV at a separate location rather than walk to the actual site.

**Program Officer:** The Program Officer, responsible for programming at the Peace Corps post level, tracks the progress of SPA-funded projects by the liquidation of project expenses through receipts turned in by PCVs, discussions during staff meetings, and occasional site visits when and where possible.

**SPA Coordinator:** The SPA Coordinator tracks the expenditures and liquidations of a SPA-funded project. The SPA Coordinator is the person who has the most current understanding of the SPA-funded projects, developed through communication with Volunteers on funding and accounting issues.

## **Accounting for Projects**

1. Receipts for all purchases are to be turned in by PCVs within 90 days of receipt of the project funding. The SPA Coordinator sends a reminder to the PCV to send in at least partial receipts if the PCV is delinquent. The SPA Coordinator receives the receipts, checks them against the original proposal, adds them up, and sends the PCV notice of the outstanding balance. She requests additional information from the PCV as necessary.
2. The SPA Coordinator sends the receipts to the Accounts Maintenance clerk in the B&F office at Peace Corps. The clerk verifies the addition and prepares an adding machine tape. The tape and the receipts are sent to the Peace Corps Accounting section of the American Embassy.
3. The Embassy voucher examiner prepares a voucher and liquidates the project using the receipts received.

## **SPA-Funded Technical Assistance**

The Philippines accesses the SPA Technical Assistance fund by responding to the quarterly cables advertising the availability of TA funds. These are commonly resubmissions of activities which were outlined in the CMPB (especially those related to training). The Program Officer does all the preparatory work for these requests except typing the cable, which is handled by her assistant, the SPA Coordinator.

When SPA TA funds are received for an activity, the Program Officer assigns one of the Program Assistants (Assistants to the APCDs) to manage the budget. This person collects receipts and manages expenditures as needed.

Liquidation of the budget is conducted within five days of the activity's completion. This information is sent to the office of B&F at Peace Corps for reconciliation and on to the Embassy where the account is closed out. A cable is also sent to SPA/OTAPS which includes observations on the consultant and the long range impact of the activity projected for the country and the PCVs.

## **Quarterly Reports to SPA/OTAPS**

The Summary of SPA Projects form (from the Guidance) is used to prepare quarterly reports. Separate annual reports are prepared for Health and ARDN.

## Communication with SPA/OTAPS Concerning Projects

When a project is approved, a cable is sent to SPA/OTAPS which identifies the new project by name and cost to SPA. This is followed by a pouched copy of the IAA. A SPA closeout packet, which includes the ACN, is pouched to SPA/OTAPS on completion of the project.

Discussions about communication revealed that feedback from SPA/OTAPS on the information sent to them is important, but lacking. "We need feedback on our proposals and the steps in our SPA project process. It would be helpful to the management of our program. We need innovative ideas and tried-and-true ideas from other programs -- and international idea sharing. For example, we have found through trial and error that training is an important component of SPA Projects."

**NANEAP REGION**  
**Thailand**

## Thailand

### Program Overview and Management

Peace Corps and USAID have been participating in the SPA program in Thailand since 1984. To date \$69,000 for Health projects and \$160,000 for ARDN projects have been obligated, for a total of \$229,000. According to the the Annual SPA Report for 1987, 48 projects reported for that year had an average cost of \$442 each. This is much lower than the average for most countries (the worldwide average is approximately \$2,500), and reflects the wider availability of commodities at lower prices. Peace Corps Thailand did not use the SPA/TA program extensively in FY 86 and 87, but SPA/TA did fund two workshops, an evaluation and attendance at an outside conference.

In addition to SPA funding, the Peace Corps also receives Host Country Counterpart (HCC) funds for small projects from the Royal Thai Government at a rate of about \$40,000 per year. Half of this money is earmarked for administrative functions and half for small projects. The subjects for these projects are not limited.

SPA and HCC funds are managed by dividing them among the APCDs for different sectors. The Education APCD is currently responsible for overseeing the HCC funds, the Agriculture APCD manages the ARDN funds, and the Health APCD manages the funds for SPA Health.

SPA Project Summaries are prepared by Peace Corps for USAID and bring the program into focus on a yearly basis. They summarize the year's events and issues and greatly enhanced the picture of the program gained during the country visit.

### Country Agreements

As funds are needed, Peace Corps sends a memorandum to USAID stating that funds are about to expire (at the end of a two year period) or run out, and proposing a new amendment or extension to an existing one. New amendments are not necessarily signed every year, but on an as-needed basis. USAID and Peace Corps come to agreement and sign the necessary amendments, after which USAID seeks concurrence from the Royal Thai Government Department of Technical and Economic Cooperation (DTEC), which coordinates all foreign assistance in Thailand. This process is the same for Health and ARDN.

Often there is money left at the end of the year. This is especially true of the ARDN funds, which are more commonly spent over a two-year period; however, both funds may be rolled over for a second year. ARDN is deobligated after the second year, or when a new agreement is signed. Expenditures of Health funds commonly exceed the \$15,000 allocation, in which case an

additional amendment is requested for a second allotment during the year.

The Peace Corps post has been working in cooperation with USAID to arrange that yearly ARDN funds be made accessible to the post directly in the same way as Health funds. The Peace Corps and USAID Directors and their support staffs agreed at a joint meeting conducted during the country visit that the funds should be made directly available to the Peace Corps, and were awaiting the definition of the funding mechanism to attach to the yearly amendment for FY88. In an interview the previous day, the Deputy Controller of the USAID Mission said that funds would continue to be obligated from his office as before, and that the FY88 funds were already in his accounts. He had endorsed the transfer directly to Peace Corps accounts, but his information from A.I.D. Washington indicated that it could not be done.

The SPA program in Thailand has been molded in part by the Accelerated Impact Program (AIP), in which Peace Corps and USAID participated before SPA, and the guidelines by which they manage their Host Country Counterpart funds for small projects. The early program limited approval of proposed activities to projects which:

1. are income producing (directly or indirectly);
2. are focused on a disadvantaged segment of the population;
3. are self-sustaining (require only a one-time investment);
4. are revenue-producing (in the nature of a coop, which produces revenue which can be used to replicate or maintain projects);
5. are replicable (can be done by other Volunteers in other areas);
6. involve contributions from recipients (labor and/or some percentage of the income of product produced);
7. can serve as a model for new areas of activity (demonstration plots, etc.);
8. have local support and approval; and
9. require not more than about \$2,000 financing (about \$4,000 for rural public works activities).

It appears, however, that the income-generating and revenue-producing requirements were broadly interpreted, for by January 1985, funded projects included chicken and swine raising, beekeeping, mushroom production, school vegetable gardening, rice mill, small scale irrigation, domestic water supply, sanitation, nutrition improvement and a school lunch program. A SPA Project Summary prepared September 1986 by Peace Corps describes the

areas of funding as those outlined in the SPA Guidance for ARDN and Health.

In the 1986 SPA Project Yearly Summary, the Peace Corps Post also outlined the guidelines in use to avoid a misconception that Volunteers are merely a source of funding. These guidelines have been carried over to the 1988 SPA Project Summary. In addition to informing local officials and project beneficiaries of Peace Corps Thailand's criteria for application for SPA funding, the guidelines detail the following:

1. Volunteers are required to spend an initial period of at least six months familiarizing themselves with local conditions and needs prior to applying for SPA project support.
2. Potential beneficiaries bear the responsibility for careful planning, scheduling, and organization.
3. Contributions, both in cash and in kind, come from the coordinating agency and community group.
4. Local customs, seasonal work schedules, government procedures and holidays are taken into account.
5. There is a clear sense of commitment on the part of the community.
6. The project can be evaluated qualitatively and quantitatively.
7. The project is technically and socially feasible.
8. The project requires a commitment of no more than about \$2,000 for general agriculture, health, small enterprise development, and energy programs or \$4,000 for rural public works activities.

### Project Approval

The following steps in project approval were outlined by the APCDs involved in this activity:

1. First the PCV discusses the project idea with the APCD.
2. The PCV then submits a draft proposal to the APCD. They discuss the draft and the APCD approves it with suggestions for changes.
3. The PCV submits a final draft of the proposal to the APCD with a letter from the Host Country supervisor acknowledging and supporting the project. (The draft proposal must be approved before written support is sought from Host Country

Agencies to avoid the problem of having to turn down a project which already has the support of the government.)

4. The APCD approves the project on behalf of the PCD and send a letter to the PCV's supervisor stating that the project has been approved and may begin.
5. The APCD notifies the Peace Corps cashier as to whether the PCV will need a cash advance or not.

#### **Additional Host Roles in the SPA Program**

At the National level, DTEC (Department of Technical and Economic Cooperation) signs the yearly amendments obligating funds to the program. The National Government is also informed annually as to the achievements of PCVs, including SPA projects, in local departments. At the level of regional and local government, the authorities are involved in SPA projects by providing written support, contributions in kind, and cash to the projects they support.

Local community authorities, such as council or village headmen, sign local agreements with PCVs to conduct each project.

#### **Disbursement to Projects**

1. When a project is approved, the APCD signs and sends the Imprest Fund Advance form to the Peace Corps Cashier requesting payment to the PCV.
2. Both individual ARDN and Health projects are funded with advances on the Peace Corps Imprest Fund. If the total cost of the project is over \$500 it will be funded in installments, each installment to be supported with valid receipts before the next advance is made. The total cost of the project may also be given out in installments if the purchases are going to be made over an extended period of time. In this way the Imprest Fund does not have outstanding advances for long periods of time which would deplete the balance available for other expenses (the total balance of the Imprest Fund fund is \$45,000 for all Post activities). In lieu of advances the Volunteer may also choose to work on a system of reimbursements. This is commonly done where the cost of the project is low. The PCV uses personal funds or those made available through their Host Country Agency. The Peace Corps Post encourages this method over advances. Occasionally a larger amount of money is needed immediately and the cost will be divided into several separate advances to the PCV from the Imprest Fund to be disbursed at the same time; however, the receipts for each advance are expected to be cleared within two weeks.

3. The PCV picks up the money and signs a receipt, or the money is transferred to the PCV's personal bank account by postal money order (most often). Funds are only released to the PCV. There is provision for funds to be disbursed to Royal Thai Agencies but this is not preferred by Peace Corps or some Thai Government agencies.

### **SPA Project Tracking Mechanisms**

APCDs try to see SPA projects during regular site visits during the life of the project and maintain written communication with PCVs. The projects are also entered on a spread sheet of current and completed activities and ACNs are sent to active projects regularly. Information on the spread sheet is also used to prepare IAA cover sheets on a quarterly basis when the IAAs are sent to SPA/OTAPS.

### **Accounting for Projects**

1. The PCV sends receipts for expenditures to the APCD, who reviews the receipts and makes a tape addition. The APCD then writes up a cash subvoucher, which the secretary copies along with the receipts. All originals are sent to the Peace Corps Cashier with the tape at one of several times outlined below.
  - A. The APCD keeps the receipts until they equal the amount of the advance and sends them all together to the Cashier for liquidation at one time.
  - B. OR - if there is a cash flow problem with the Imprest Fund the cashier will call the APCDs and ask them to liquidate the receipts that they are holding in order that the cashier can turn them in to the Embassy and get the Imprest Fund reimbursed.
  - C. OR - if there was no cash advance the PCV turns in the receipts to the APCD who passes them to the cashier for reimbursement.
2. The Peace Corps Cashier liquidates the receipts to the advance and sends the original advance slip back to the APCD cleared. The Cashier collects receipts from a number of projects for \$500 or more and prepares a replenishment voucher to be sent to USAID (for ARDN) or to the Embassy (for Health). Any voucher would have only one purpose or accounting code on it though a single voucher may have several Health or ARDN projects on it.
3. USAID or the Embassy sends a check to the Peace Corps Cashier and the check is cashed and placed in the Imprest Fund.

All Health funds are handled through reimbursement. Advances on these funds, as they are held in the Peace Corps Accounts, can only be made for travel, quarters, and rentals. These rarely apply to Health projects. The voucher for reimbursement is received at the Embassy by the accounting technician responsible for Peace Corps accounting. He verifies the voucher and passes it to the Regional Administrative Management Center (RAMC) to be signed. A check is then prepared and sent to Peace Corps. This process takes about three days.

ARDN funds are reimbursed through the USAID Mission directly to Peace Corps on a quarterly basis. By definition, Peace Corps is expected to estimate their needs on an advance/replenishment schedule. An advance is prepared for Peace Corps based on their projected needs over the following 90 day period (quarterly). A check for the advance is sent to Peace Corps. Liquidations against the advance are sent to USAID in the form of a no-pay voucher. This may happen at the same time that the next or additional advance is requested. USAID prepares a check for the net amount (the difference between the advance being liquidated and the new advance). In practice, the Peace Corps Cashier holds approved ARDN projects and asks for advances for several at one time. In the meantime, PCVs receive advances from the Imprest Fund.

Advances from USAID are deposited in the USDO (United States Disbursal Office, Embassy account). The Peace Corps Cashier sends in reimbursement requests from this USDO account at the Embassy just like the Health process, and reimburses the Imprest Fund. Liquidations to the USAID advance are made by an expenditure report certified by the Peace Corps Director or designee as correct. (Note: This is not in total agreement with points 2 and 3 in "Disbursement to Projects" above, due to variations in the information collected.)

#### **SPA-Funded Technical Assistance**

The post responds to quarterly cables sent out by SPA/OTAPS. APCDs, acting independently, originate requests for Technical Assistance. In addition, OTAPS Sector Staff are relied upon to channel the requests to the appropriate funding sources.

Budget authority for each activity goes into the Peace Corps accounts at the Embassy. The Embassy sends liquidation and balances on these accounts to the Peace Corps each week. Travel advances are made directly from these accounts but everything else is disbursed through the Imprest Fund. The Peace Corps Administrative office handles the initial accounting as receipts are turned over by the APCD in charge of the activity. Replenishment vouchers are prepared on these disbursements and sent to the Embassy with the original receipts. RAMC issues a check to replenish the Imprest Fund a day or two after the Embassy clears the replenishment voucher.

**Quarterly Reports to SPA/OTAPS**

Quarterly reports are prepared and sent with the IAAs and ACNs to SPA\OTAPS.

**Communication with SPA/OTAPS Concerning Projects**

See "Quarterly Reports to SPA/OTAPS" above.

**Appendix I**  
**COUNTRY FUNDING,**  
**DISBURSEMENT, ACCOUNTING**  
**and LIQUIDATION SYSTEMS**

## APPENDIX I

### COUNTRY FUNDING, DISBURSEMENT, ACCOUNTING AND LIQUIDATION SYSTEMS

This appendix contains tables which describe the mechanisms and procedures in each sample county for funding of ARDN projects (Table I-1) and Health projects (Table I-2); disbursement of funds to ARDN (Table I-3) and Health projects (Table I-4); and program accounting and liquidation procedures for ARDN (Table I-5) and Health projects (I-6). Additionally, Table I-7 summarizes reported reasons for delays in project funding.

TABLE I-1

COUNTRY FUNDING: ARDN

COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	* Hond	** Para	Phil	Thai
<b>MECHANISM</b>											
<b>A. Funded through USAID post funds.</b>											
1. Funds made available through USAID country budget based on amendments to the original agreement between PC/Post and USAID.	X	X		X			X				X
<b>B. Direct transfer to Peace Corps Post from Peace Corps Washington.</b>											
1. Transferred directly to the PC Post from PC/Wash via USAID based on amendments to the original agreement between PC/Post and USAID.			X			X			X		
2. Transferred directly to the PC Post from PC/Wash via A.I.D. based on amendments to the original agreement between PC/Post and USAID.										X	
<b>C. Local Currency funds.</b>											
1. Funds for ARDN made available through the Economic Stabilization and Recovery Project by the Host Country Government based on amendments to the original agreement between PC/Post and USAID.					X						
2. No ARDN funds used. Funds for projects made available through the Economic Stabilization and Recovery Project by the Host Country Government and USAID based on the philosophy of the SPA program.								X			

\* ESF Funds managed in the spirit of SPA ARDN.

\*\* A.I.D. Regional Representative. No USAID mission.

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TABLE 1-2

COUNTRY FUNDING: HEALTH

	COUNTRY										
	Keny	Leso	Mali	Sene	Cost	Domi	Jama	Hond	Para	Phil	Thai
<b>MECHANISM</b>											
1. Direct transfer to Peace Corps Post from Peace Corps Washington.											
A. Transferred directly to the PC/Post from PC/Wash based on memos of agreement or amendments to an original agreement between PC/Post and USAID.	X	X	X	X	X	X	X	X	X	X	X

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TABLE I-3

## DISBURSEMENT OF FUNDS: ARDN

## COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	* Hond	** Para	Phil	Thai
<b>PROCEDURES</b>											
<b>A. Peace Corps accounts to individual projects.</b>											
1. Through PC Post accounts, using purchase orders for checks to individual projects.			X								
2. Through PC Post accounts, using a memorandum for the preparation of checks for individual projects.										X	
<b>B. USAID accounts to individual projects.</b>											
1. Through USAID using purchase orders for checks to Peace Corps individual projects.	X						X				
2. Through USAID using Voucher system for checks for delivered goods and services.		X		X							
<b>C. USAID quarterly advances to Peace Corps accounts, to individual projects.</b>											
1. Through USAID using "quarterly" advances to PC. The funds are transferred to PC Post accounts and accessed using purchase orders for checks to individual projects.					X	X			X		
2. Through USAID using "quarterly" advances to PC. The funds are deposited into a PC local bank account. Checks are written to individual projects.								X			
3. Through USAID using "quarterly" advances to PC. The funds are transferred to PC Post accounts and accessed using purchase orders for several projects at a time to refund the PC imprest fund from which individual projects are funded.											X

\* Not ARDN but managed like ARDN. See Table I-1.

\*\*A.I.D. Regional Representative, no USAID mission.

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TABLE I-4

DISBURSEMENT OF FUNDS: HEALTH

COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	Hond	Para	Phil	Thai
<b>PROCEDURES</b>											
<b>A. Peace Corps accounts to individual projects.</b>											
1. Through PC using purchase orders for checks to Peace Corps individual projects.	X		X		X	X	X	X	X		
2. Through PC using Voucher system for checks for delivered goods and services.				X							
3. Through PC Post accounts, using a memorandum for the preparation of checks for individual projects.										X	
4. Through PC using purchase orders for several projects at a time to refund the Peace Corps imprest fund.											X
<b>B. Unknown</b>											
1. No information available at time of country visit.		X									

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TABLE I-5

## PROGRAM ACCOUNTING AND LIQUIDATION: ARDN

## COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	* Hond	** Para	Phil	Thai
PROCEDURES											
A. Quarterly liquidation of advances.											
1. Projects liquidated through PC imprest fund and PC accounts at Embassy. (Replenishment vouchers prepared for multiple projects and sent to USAID as funds are needed.)											X
2. Project liquidation within 90 days of receipt of funds (to meet USAID quarterly advance system ) with voucher prepared by Peace Corps and sent to Embassy to be cleared against Peace Corps accounts.										X	
3. Projects are liquidated with receipts for expenditures on a "quarterly basis" which, in at least some cases, means sending vouchers and sometimes receipts to USAID or A.I.D. as appropriate.	X			X		X	X		X		
4. No ARDN funds. ESF liquidated on a "quarterly" schedule through USAID.								X			
B. Voucher System.											
1. No Peace Corps liquidation of funds, USAID tracks expenditures through voucher system.		X									
C. Other Procedures.											
1. PC liquidates project expenditures through Peace Corps accounts and, in principle, sends USAID monthly statements against the yearly advance.			X								
2. System not functioning at the time of Country visit due to funding problem.					X						

\* ESF Funds managed in the spirit of SPA ARDN. See Table I-1.

\*\* A.I.D. Regional Representative. No USAID mission.

TABLE I-6

## PROGRAM ACCOUNTING AND LIQUIDATION: HEALTH

## COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	Hond	Para	Phil	Thai
<b>PROCEDURES</b>											
<b>A. Quarterly liquidation of advances.</b>											
1. Project liquidation within 90 days of receipt of funds with voucher prepared by Peace Corps and sent to Embassy to be cleared against PC accounts.										X	
2. Projects are liquidated with receipts for expenditures by PC and summaries are reported to USAID (or A.I.D.) on a quarterly basis.					X				X		
<b>B. Voucher System.</b>											
1. PC liquidates projects using voucher system through PC accounts at Embassy.			X					X			
<b>C. Liquidate as necessary.</b>											
1. Projects liquidated through PC imprest fund and Peace Corps accounts at Embassy. Replenishment vouchers prepared for multiple projects and sent to PC accounts at the Embassy as funds are needed.											X
<b>D. Liquidate yearly.</b>											
1. Liquidation of project expenditures is conducted by PC and yearly reports on disbursements sent to SPA/OTAPS.	X			X							
<b>E. Other procedures.</b>											
1. No defined system identified at the time of the country visit		X				X	X				

\*A.I.D. Regional Representative, no USAID mission.

TABLE I-7

REASONS FOR DELAYS IN PROJECT FUNDING AS  
 REPORTED BY STAFF OF BOTH PEACE CORPS AND USAID

COUNTRY

	Keny	Leso	Mali	Sene	Cost	Domi	Jama	Hond	Para	Phil	Thai
REASONS											
1. Low cash flow in the imprest fund											X
2. Time and human resource conflict with duties of year-end close-out					X						X
3. When the program runs out of funding and has to wait for new funds										X	
4. Backup in check requests at the local Embassy, where requests for funds are not processed after the twentieth of each month until the monthly paperwork is caught up										X	
5. Computer break-down at the Embassy						X					
6. Delay on individual checks through RAMC							X				
7. Requests that seem to disappear		X									
8. Backups at USAID and Peace Corps							X		X		

**Appendix J**  
**PROJECT APPROVAL PROCEDURES**  
**by COUNTRY**

## **APPENDIX J**

### **PROJECT APPROVAL PROCEDURES BY COUNTRY**

This appendix notes the principal features of the project approval process for each sample country.

TABLE J-1

## PROJECT APPROVAL: ARDN AND HEALTH

	COUNTRY										
	Keny	Leso	Mali	Sene	Cost	Domi	Jama	Hond	Para	Phil	Thai
<b>PROCEDURES</b>											
A. APCD review and community visit. Local Government review. SPA Coordinator (PTO) review and recommendation. PCD signature of approval.	X										
B. APCD review and recommendation. PCD review and recommendation. USAID Project Development Officer review. USAID technical experts review. PC notified of approval.		X									
C. Local government review. Proposal developed with SPA Committee representative and APCD. APCD review and the recommendation. SPA Committee review. SPA Committee designates approval.			X								
D. PCV Regional Project Advisor review. APCD review. SPA Coordinator (APCD) review. PCD signature for approval. USAID Assistant Program Officer signature.				X *							
E. APCD and/or PCV (SPA Coordinator) review with possible site visit. APCD recommends. SPA Committee review. SPA Committee designates approval.					X						
F. APCD review and community visit. SPA Coordinator (USAID) review. PTO or PCD review. PTO or PCD signature for approval.						X					
G. SPA Coordinator (APCD) review. SPA Committee review. USAID SPA Coordinator, Technical Officer and Controllers review. PCD signature of approval.							X **, **				
H. SPA Coordinator (PC) and APCD review. SPA Committee Review for approval. PCD signature. For projects of \$500 or less by-pass the SPA Committee.								X **			
I. APCD review. SPA Committee review. PCD signature for approval.									X **		
J. APCD review, recommends to the Program Officer. Program Officer and SPA Coordinator (Assistant to the Program Officer) review. Program Officer recommends to USAID SPA Coordinator. Memorandum of concurrence for approved projects.										X	
K. APCD review and support. Host Country Supervisor Support. Project approved by APCD.											X

\* USAID review not included for Health projects.

\*\* USAID staff member or A.I.D. Regional Representative sits on SPA Committee.

**Appendix K**  
**INDIVIDUAL ACTIVITY AGREEMENT**  
**CHECKLIST**

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## **APPENDIX K**

### **INDIVIDUAL ACTIVITY AGREEMENT CHECKLIST**

The Individual Activity Agreement Checklist is reproduced here as it appears in the SPA Program Guidance. The checklist is a tool for the preparation and review of SPA project proposals.

INDIVIDUAL ACTIVITY AGREEMENT

CHECKLIST

The attached project:

- \_\_\_\_\_ Is community initiated and directed.
- \_\_\_\_\_ Is part of a self help effort to address a community need.
- \_\_\_\_\_ Has clearly defined activity objectives.
- \_\_\_\_\_ Has a "capacity" building component.
- \_\_\_\_\_ Has significant community contribution.
- \_\_\_\_\_ Is scheduled for completion within one year of commencement.
- \_\_\_\_\_ Demonstrates community's awareness that SPA projects must not encourage continued reliance on U.S. assistance.
- \_\_\_\_\_ Shows community's commitment and ability to cover any recurring costs.
- \_\_\_\_\_ Shows a complete and realistic budget.
- \_\_\_\_\_ Has suitable land or cleared lot for the activities.
- \_\_\_\_\_ Has sufficient manual labor.
- \_\_\_\_\_ Utilizes locally available raw materials.
- \_\_\_\_\_ Has specific indicators and a process for monitoring projects progress.
- \_\_\_\_\_ Has an evaluation method and plan.

I (we) have reviewed the attached proposal (visited the site) and certify that it is well planned, accurately budgeted, and has the approval of the proper level leaders and government officials.

\_\_\_\_\_  
(APCD, DIR, SPA REVIEW COMM.)

\_\_\_\_\_  
DATE

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**Appendix L**  
**SPA - SUPPORTED**  
**TECHNICAL ASSISTANCE EVENTS**  
**REVIEWED**

## **APPENDIX L**

### **SPA-SUPPORTED TECHNICAL ASSISTANCE EVENTS REVIEWED**

This appendix contains a list of 32 Technical Assistance events sponsored by SPA during fiscal years 1986 and 1987 which were reviewed by TvT evaluators during the field visits.

## SPA-SUPPORTED TECHNICAL ASSISTANCE EVENTS REVIEWED

<u>TITLE</u>	<u>COUNTRY</u>
<u>Water</u>	
Water IST	Mali
Water Lifting Device IST	Mali
International Rain Water Cistern Conference	Thailand
Conference - Water Pumping/Water Lifting	Africa Region
Well Improvement Workshop	IA Region
<u>Fish</u>	
Fish Culture Course Small Producers	Honduras
Fresh Water Fisheries IST	Dominican Republic
Fish Culture Joint Conference	IA Region
Fish Culture Project Plan	Honduras
International Symposium on CPR	Jamaica
<u>Agroforestry</u>	
Agroforestry IST	The Philippines
Nursery Management Workshop	Senegal
Agroforestry Workshop	Dominican Republic
<u>Project Design and Management</u>	
SPA IST	Paraguay
Project Design and Management Workshop	Senegal
Feasibility Workshop	Costa Rica

SPA-SUPPORTED TECHNICAL ASSISTANCE EVENTS REVIEWED (Continued)

TITLE	COUNTRY
<u>Other Workshops &amp; Training</u>	
Beekeeping IST	Jamaica
Appropriate Technology Workshop	Honduras
Soil Conservation Workshop	Honduras
Dietetics IST	Dominican Republic
<u>Information Collection and Exchange Workshops</u>	
ICE Resource Center Workshop	Africa Region
ICE Resource Center Workshop	NANEAP Region
<u>Evaluations</u>	
Health & Sanitation IST	Mali
Evaluation of Peace Corps and Ministry of Natural Resources Agreement	Honduras
WID Garden Survey	Senegal
Small Enterprise Development, Evaluation & Redesign	Mali
Kaypro Evaluation	Thailand
<u>Conferences</u>	
NCIH Annual International Health Conference	IA Region
Women In Development Conference	IA Region
Programming Conference	Africa Region
Health Programming Workshops	NANEAP Region
IA Programming Conference	IA Region

**Appendix M**  
**SUGGESTIONS**  
**of IN - COUNTRY PEACE CORPS STAFF**  
**for IMPROVING COMMUNICATIONS**  
**with SPA/OTAPS**

**APPENDIX M**

**SUGGESTIONS OF IN-COUNTRY PEACE CORPS STAFF  
FOR IMPROVING COMMUNICATIONS WITH SPA/OTAPS**

Included here are specific suggestions provided by 19 Peace Corps staff in the countries visited for improving communications with SPA/OTAPS.

**Suggestions of In-Country Peace Corps Staff  
for Improving Communications with SPA/OTAPS**

Response	Number of Respondents
<b>Clarify TA criteria, request and approval procedures</b>	<b>9</b>
<ul style="list-style-type: none"> <li>- Say yes or no &amp; take care of business--too many cables asking too many unnecessary questions--I know how it will run</li> <li>- risk money, don't be so worried</li> <li>- everything (TA) is approved, but at the last minute</li> <li>- juggling our money needs (TA) between the pockets takes a lot of time and is unclear</li> <li>- TA examples, scope of TA and how it relates to everything</li> <li>- I do not know how to access TA resource effectively</li> </ul>	
<b>Update Guidance</b>	<b>8</b>
<ul style="list-style-type: none"> <li>- clarify reporting responsibilities</li> <li>- concise guidelines on content, rationale, format</li> <li>- clearer guidance, for TA, for health</li> </ul>	
<b>Feedback on all queries, not just those seen as problems by SPA/OTAPS</b>	<b>7</b>
<ul style="list-style-type: none"> <li>- complete responses to cables</li> <li>- unambiguous communications from SPA/OTAPS</li> <li>- acknowledge receipt of documents/track activities we report on</li> <li>- need informative feedback</li> </ul>	
<b>Train (orient) staff on possibilities</b>	<b>2</b>
<ul style="list-style-type: none"> <li>- high priority to be given, especially to HCM Staff visiting Washington, to make contacts and learn accessing procedures</li> </ul>	
<b>Secretarial Assistance, more manpower</b>	<b>2</b>
<b>Better communication between country staff and SPA/Washington staff</b>	<b>2</b>
<ul style="list-style-type: none"> <li>- cables are fine but you really need to talk personally with people (TA)</li> <li>- follow-up phone call information with a cable</li> </ul>	
<b>Better streamlining of TA routing in country</b>	<b>1</b>
<b>Want someone else (admin. in country) to do administrative TA headache</b>	<b>1</b>
<b>Too many players</b>	<b>1</b>
<ul style="list-style-type: none"> <li>- have to go through region (IA) for TA</li> </ul>	
<b>Computer training</b>	<b>1</b>
<b>A filing cabinet</b>	<b>1</b>
<b>More regular updates on IAA listings from SPA/OTAPS</b>	<b>1</b>
<b>Make one person responsible for SPA communication at post</b>	<b>1</b>
<b>Total: 19 respondents (multiple responses allowed.)</b>	

**Appendix N**  
**CONCERNS**  
**and REQUESTS for TRAINING**  
**from PEACE CORPS**  
**and USAID STAFF**

## APPENDIX N

### CONCERNS AND REQUESTS FOR TRAINING FROM PEACE CORPS AND USAID STAFF

The table presented in this appendix illustrates the range of responses concerning training that Peace Corps and USAID staff made in outlining their concerns and recommendations for the SPA Program.

**CONCERNS AND REQUESTS FOR TRAINING FROM PEACE CORPS AND USAID STAFF**

<b>Concerns</b>	<b>Number of Responses</b>
Better support of PCVs in proposal writing needed PCVs must be trained in PD&M & transfer those skills	3
Community involvement, planning not always well-conceived PC may hinder community development They don't look for more local resources	2
APCDs not technically versed to review proposals	1
Committee uses subjective standards for approval	1
PCVs not well briefed in the mechanics of SPA	1
Inadequate information in proposals	1
Communities need to do projects themselves in order to take full advantage of what SPA is for	1
Better incorporation of technical expertise in plans	1
<b>Recommendations</b>	<b>Number of Responses</b>
More training for PCVs in all aspects of SPA and proposal writing specific to the country More training for PCVs on funding resource options At least 1 hour training on SPA policy should be policy PD&M Workshops, role of PCV	7
More staff training	4
Regional workshops on SPA for staff	2
More PD&M training	1
Training for SPA Coordinator	1
SPA training for Admin & Accounting staff	1
Workshop for PCVs and staff in general project management	1

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