

A.I.D. EVALUATION SUMMARY - PART I

PD-ABE-199
77367

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA

A. Reporting A.I.D. Unit: Mission or AID/W Office <u>OAR/Burkina</u> (ES# _____)	B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan? Yes <input checked="" type="checkbox"/> Slipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>89</u> Q <u>4</u>	C. Evaluation Timing Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>
D. Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)		

Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
686-0276	Pilot Village-Level Natural Resources Management Activities	1989	09/92	\$2,000	\$1,500

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director Action(s) Required PACD should be extended to December 31, 1992 to allow sub-grantee to complete approved activities.	Name of Officer Responsible for Action OAR/Burkina and REDSO/WCA	Date Action to be Completed 01/92
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(Attach extra sheet if necessary)

APPROVALS

F. Date Of Mission Or AID/W Office Review Of Evaluation: _____ (Month) _____ (Day) _____ (Year)				
G. Approvals of Evaluation Summary And Action Decisions:				
	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Name (Typed)	Augustin Ouattara		Sally R. Sharp	Wilbur G. Thomas
Signature	<i>[Signature]</i>		<i>[Signature]</i>	<i>[Signature]</i>
Date	06/12/92		6/12/92	6/12/92

ABSTRACT

H. Evaluation Abstract (Do not exceed the space provided)

The Center for PVO/University Collaboration in Development at Western Carolina University presented OAR/Burkina an unsolicited proposal for a pilot project to help develop and test various NRM strategies at the village level. The Pilot Village Level Natural Resources Management Project, a three year project, sought to develop new and innovative methods to improve the capacity of end-users themselves to plan, implement and monitor natural resources management (NRM) activities and to develop a system for linking U.S. university consultants with US PVOs and local PVOs. Based on local initiatives, US PVOs in Burkina, Burkina Non Governmental Organization (NGOs) and village committees and groups would initiate and implement NRM activities. Purpose of the evaluation: (1) to assess project performance to determine whether project objectives are met, (2) to assess the continued validity of assumptions upon which the project rest. The 3 weeks mid-term evaluation was conducted by a team of two independent external evaluators on the basis of a review of project documents, interviews of key grantee personnel at Western Carolina University, field interviews and site visits in Burkina Faso.

The major findings are:

- There have been significant delays and it is difficult to assess project impact at the village level.
- Many of the delays and problems appear to derive from the complexity of the management structure, centralization of decision making in North Carolina, inadequate implementation planning, and poor communication between the PVO Center and the Mission.
- To date the project has not been successful in bringing together U.S. university technicians, local consultants and local PVOs.
- Crosscutting design issues that appear to have hampered project performance include: multiple and complex project objectives; internal contradictions between objectives; different perceptions of the nature of the problem and an excessively complex organizational structure.

The principal conclusions are:

- The project is likely to be successful with respect to improving the capacity of local groups to deal with natural resource management problems.
- The emphasis on simple, well tested technologies and local decision making are likely to be effective. The technical capacity for dealing with these issues is likely to be found in-country.
- The overall project structure is excessively cumbersome and complex.
- The project is too heavily oriented toward the Center and inadequately reflects local needs, local problems and local solutions. The organizational structure should shift toward Burkina Faso.
- The role of the Liaison Office needs to be strengthened with unequivocal responsibility for overall project management. The role of the Center should be adjusted; it should function in a support capacity.
- The Coordinating Committee should either be disbanded or restructured.

The principal recommendations are:

- The Liaison Office should be reconstituted as the Project Management Office.
- The role of the Center should be recast.
- The functions of the Coordinating Committee should be distributed to other entities.
- The Mission and the Center should engage in a joint reprogramming exercise.

COSTS

I. Evaluation Costs

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
Biddle C. Stark	PSC	40 person days	\$48,617	Project
Nicholas Danforth	PSC			
2. Mission/Office Professional Staff Person-Days (Estimate) _____ N/A _____		3. Dorrer/Grantee Professional Staff Person-Days (Estimate) _____ N/A _____		

A.I.D. EVALUATION SUMMARY - PART II

SUMMARY

J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)

Address the following items:

- Purpose of evaluation and methodology used
- Purpose of activity(ies) evaluated
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office:	Date This Summary Prepared:	Title And Date Of Full Evaluation Report:
OAR/Burkina	06/92	Evaluation of the Pilot Village-Level Natural Resources Management Activity

Purpose of the evaluation: This mid-term evaluation was undertaken to identify "lessons learned" and provide a basis for mid-term corrections. The two broad objectives were to: (1) assess project performance under the cooperative agreement and confirm that time schedules are being met, project implementation actions by time period are being accomplished, and other performance goals are being achieved; (2) assess progress towards stated project goals and purposes and the continued validity of assumptions in the context of the project's pilot nature as a basis for decisions concerning modifications, if any, in the design and implementation of the project.

Methods and procedures used: The evaluation was conducted in two phases by a team of two independent external evaluators. During phase one, the team spent two days at Western Carolina University to review all project agreement, reports and related documents and interviewed key PVO/Center and Western Carolina University personnel involved in the project. Phase two, the in-country phase, lasted approximately three weeks. Two weeks were spent for information gathering consisting of field interviews with local staff, AID/Burkina staff, PVO field staff working at project sites, and the project's "Coordination Committee". Towards the end of the second week, the team conducted an inter active discussion with AID/Burkina to report on preliminary findings, elicit feedback and explore and identify over areas for further analysis. During the last week, a preliminary report of findings was written and left with AID/Burkina and PVO/University Center for review and comments.

Purpose of the activity: In Burkina Faso's precarious environmental setting, there is a great urgency to adopt new approaches that will encourage long-term environmental sustainability. Although there is general consensus that local technological capacities are considerable, to address this problem, at the village level, the principal human resources constraints to sustaining the natural resources base appear to be organiza-tional, institutional and managerial. Thus, one of the key elements of the A.I.D. strategic objective in Burkina is to increase small holder incomes and farm level productivity through better management of natural resources. The Pilot Village-Level Natural Resources Management Activities (PVLNRMA) project was submitted to the Mission as an unsolicited proposal by the Center for PVO/University Collaboration in Development at Western Carolina University and was authorized by AID/W as a pilot three-year project with a \$2 million level of funding. A Cooperative Agreement was entered into with the Center. The Project was originally conceived as a pilot project by the Mission.

Principal Findings:

- The project has a good prospect for being successful with respect to achievement of its primary goal of improving the capacity of individuals and local groups at the village level to deal with natural resource management issues in the pilot zones.
- The project's emphasis on using existing approaches and simple, well tested technologies is appropriate in the context of the problems faced and the skills, resources and limitations available to deal with those problems.
- The project's reliance on local decision making and village level solutions to local issues is similarly appropriate and consonant with established approaches to dealing with natural resource management issues.
- The structures and relationships that have and will be established between PVOs, NGOs and local community groups appear to provide an effective mechanism for delivering training and technical assistance at the local level.
- The system of using a coordinating PVO in a pilot zone linked with cooperating local NGOs who receive sub-grants through the PVO is a workable mechanism.
- The technical competence for dealing with the types of natural resources management issues faced at the village level appears, by and large, to be available in-country.

S U M M A R Y (Continued)

- The sub-grants authorized under the grant appear to be well conceived in terms of strategy, scope and target group. They appear to utilize an appropriate level of technology from a variety of local and in-country resources.
- The PVOs and the NGOs involved in this project appear to be able to access appropriate technical help and training assistance from local sources when they need it.
- The universities associated with the center for PVO/University Collaboration appear to have the skills and capabilities to provide training and technical assistance in the area of natural resource management.
- The project has not to date demonstrated an effective demand for U.S. university technical assistance or for training from U.S. university trainers.
- Whether there is a latent demand for U.S. university expertise is difficult to determine with confidence because of the short duration of project activity and because there has been no attempt to stimulate that demand or "market" U.S. university services.
- The empirical evidence suggests that the demand for assistance from U.S. universities is considerably less than assumed when the project was designed. There is broad consensus that local technical capacity is sufficient to deal with the range of technical issues faced at the village level. There is supporting evidence that local institutions are better able to define their needs and marshal their technical capacities than are outside entities. And finally, there is some indication of cultural resistance to reliance on outsiders for technical solutions to local problems.
- The slim evidence available to date suggests that local NGOs and community groups have effective access to national level institutions with the capacity to provide technical aid in the instances when that is necessary.
- The PVOs and NGOs involved in this project have not shown the degree of interest assumed at the time of project design in expanding their knowledge of other, more innovative types of natural resource management interventions.
- The overall project structure is excessively cumbersome and complex for a pilot activity. It needs to be simplified and rationalized.
- The project management is too heavily oriented toward the Center and inadequately reflects local needs, local problems and local solutions. The organizational structure needs to shift significantly toward Burkina Faso and, within country, toward the pilot test zones.
- The role of the Liaison Office needs to be strengthened with unequivocal responsibility for overall project management including policy, strategic planning and achievement of project goals.
- The role of the Center should be adjusted. The Center should function primarily in a support capacity with functions to include contracting for sub-grants, funds management, payroll, occasional technical backstopping and communications with interested university participants.
- The Burkina Faso Coordinating Committee is not effective. It should be either disbanded or restructured. If a new entity is established in its place, its role and function must be sharply defined.
- Technical review of sub-grant proposals by the university Technical Support Committee has not proven effective and is a potential irritant to constructive relationships with local PVOs and NGOs.
- Sub-grant criteria and application guidelines appear to be effective. Significant alteration is not required.
- Considerable efforts are needed to forge better communication between project managers at all levels. It is particularly important to forge a consensus on project priorities and strategy.

Principal Recommendations:

- The Liaison Office should be reconstituted as the Project Management Office. Its functions should be redefined to include all responsibilities and authorities pertinent to that role including: strategic planning, directing, managing, monitoring, liaison and evaluation. It should have authority to approve sub-grant proposals that have gone through an in-country peer review process and determine the need for and process requests for technical assistance to the Center in those occasional instances when a request for U.S. university assistance arises. It should be the central point of communications on all aspects of the project and the focal point of frequent contact with the Mission and with the Government of Burkina Faso. The office should be staffed by a Director and an Assistant Director and should have a full time secretary and the full panoply of communications and transportation equipment necessary to function effectively.
- The role of the Center should be recast so that it becomes primarily an administrative and support entity. Specific Center functions should include: funds

S U M M A R Y (Continued)

management and payroll; financial reporting; accessing technical assistance from university affiliates upon request; and the handling of all logistical matters associated with provision of U.S. technical assistance.

- Technical review of sub-grant applications at the Center should be terminated.

- The in-country Coordination Committee should be disbanded and its primary functions should be allocated to new or existing entities.

* The policy making and project oversight function would be housed in the Project Management Office;

* The sub-grant technical review function should be assumed by ad hoc peer review panels composed of individuals with technical and managerial expertise and experience who have a good "feel" for PVO/NGO operations at the local level in Burkina Faso;

* The networking and information and dissemination function would be assumed by the Project Management Office;

* There should be a systematic review of project goals and priorities in light of experience gained to date;

* Because of the pilot nature of this project, the modest level of activity to date and the potential merit of the PVO/NGO structure that has been put in place, a second evaluation is recommended.

Lessons Learned:

(1) the original premise had merit but the administrative structure set up by the PVO/University Center obviated the project's success; (2) one of the 2 PVO partners had more on the ground and administrative experience than the Grantee which made effective cooperation difficult.

ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

- Evaluation Report
- Budget Data
- The Cooperative Grant Agreement
- Scope of Work
- List of People and Institutions Interviewed.

COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

- OAR/Burkina found the evaluation report lacking in depth and understanding of project and how AID works and interacts with its partners.
- The evaluators did not comprehend what an unsolicited proposal encompassed, that there was no project paper and that the operating document was the cooperative agreement.
- The mission found that the evaluators somewhat biased toward the PVO Center and had to caution the team reutilizing the PVO Center staffer as a member of the evaluation team. Some of the PVO partners complained about the presence of the PVO Center during their meetings with the evaluation team.
- The evaluators were confused re differences between an OPG and a Cooperative Agreement. This is an important point while assessing the relationship between the grantee and USAID.
- The report did not highlight the genesis of the project.
- The evaluation was wanton in its discussion on the Ouagadougou Liaison Office and lacking in analysis as to why the structure is not functioning.
- The report overemphasizes the term "pilot project" and appears to make excuses for lack of performance in certain areas because of the project's pilot nature. This is not an objective view and highlights a misunderstanding the evaluators have regarding pilot activities.
- Another area of assessment which is not specifically mentioned in the report is an objective analysis/reason for the long delay in project start up. Omission of information of this type provided to the evaluators gave the decided impression that the evaluation is weighed and did not objectively assess the working relationship between OAR/Burkina and the University/PVO Center. There is no analysis nor data tracking dates for sub-grant submission, approval to actual receipt of funds in the field.
- The evaluators exaggerated some of the accomplishments made by the project, e.g., partnership between U.S. PVOs and local NGOs have long been established prior to the project.
- OAR/Burkina sees no internal contradictions between objectives. The objectives are simple, direct and implementable. Mission reading of Grant describes the project as a straight forward, simple project that AID implements.
- The Center, and its existing operations, made complex a practically, implementable activity.

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**EVALUATION OF THE
PILOT VILLAGE LEVEL NATURAL RESOURCES MANAGEMENT ACTIVITY
BURKINA FASO
(Cooperative Agreement No 686-0276-A-00-9047-00)**

**for the
Center for EVO/University Collaboration in Development**

**Evaluators:
C. Stark Biddle
Nicholas Danforth**

January 6, 1992

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Ralph Montee
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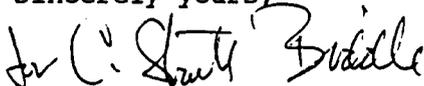
Dear Mr. Montee:

Under cover of this letter I am including 16 copies of our evaluation of the Pilot Village Natural Resource Management Activity in Burkina Faso. After attaching copies of the Scope of Work and the Cooperative Grant Agreement, I would be grateful if you would forward 6 copies of this document to the USAID Mission in Burkina Faso.

This final Report incorporates comments received from the Center and from the Mission. In most instances the evaluation team has concurred with the suggestions and corrections we have received. In some cases we have either disagreed or concluded that the comment was not directly germane to the argument. In these cases, we have reflected the comment in a footnote to the main document. In this regard, OAR/Burkina believes that the evaluation would have been clearer if the assessment had been made against the language of the Cooperative Grant Agreement rather than the language of the Project Paper, as we have done. In the judgement of the evaluation team, the Project Paper provides a fuller and more detailed description of Project intent and of the implementation plan and we have concluded that it is preferable to use this document as a basis for assessing Project performance.

We are grateful for the support that the Center has provided.

Sincerely yours,



C. Stark Biddle
Nicholas Danforth

cc Wilbur Thomas, OAR/Burkina Faso

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A. Project Chronology

B. Budget Data

C. The Cooperative Grant Agreement

D. Scope of Work

E. List of People and Institutions Interviewed

Glossary and Definitions of Terms and Acronyms

ABAC	Association Burkinabe pour l'Action Communautaire
ADDS	Association pour la Developpement du Departement de Sapone, a local NGO
AID	The Agency for International Development
AVLP	Association "Vive Le Paysan", a Burkinabe NGO based in Sapone with an office in Ouagadougou
Burkinabe	From Burkina Faso
Center	The Center for PVO/University Collaboration in Development, Cullowhee, North Carolina
CILS	Le Comite Permanent Inter-Etats de Lutte Contre la Secheresse dans le Sahel
GOBF	Government of Burkina Faso
IBE	L'Institut Burkinabe d'Energie, ^{110 P} an NGO partner in the Sapone Market Gardening Subproject
LO	Liaison Office in Ouaga (formerly Support Office)
MET	Ministry of Envirnement and Tourism
NGO	Non-Governmental Organisations based in Burkina Faso, <u>registered with the GOBF (BSONG)</u> ^{not necessary}
NRM	Natural Resource Management
OAR/B	Office of the AID Representative/Burkina Faso, the Agency for International Development's mission in Ouagadougou
Project	The "Pilot Village Level Natural Resource Management Activity".
PVO	U.S. Based Private Voluntary Organizations registered with AID operating in Burkina
Sapone	A Project pilot zone; a department in Bazega Province.
SDS	NGO in Sapone ^{110 P}
Tougouri	A Project pilot Zone; a department in Namentenga Province.
UO	University of Ouagadougou

**Evaluation of the
Pilot Village-Level Natural Resources Management Activity
Cooperative Agreement No 686-0276-A-00-9047-00**

I. Executive Summary and Summary of Recommendations

This is a mid-term evaluation of a pilot project designed to establish village level approaches to natural resource management using the capabilities of local private voluntary organizations. An important intent is to explore the capacity of U.S. universities to supply appropriate technical and training assistance to implementing institutions. The Project involves sub-grants to local PVOs and NGOs, provision of technical assistance, a system of U.S. University based technical review, establishment of an in-country Coordinating Committee and an in-country Liaison Office. The Project is administered by the PVO/University Center located in North Carolina. The evaluation is designed to assess project performance and evaluate the validity of the assumptions on which the project rests.

The principal evaluative findings are as follows:

- o In the face of considerable logistical obstacles and delays, there has been considerable progress in establishing criteria, designing a review process, establishing a liaison office and processing grant applications.

- o A structure for delivering training resources has been established.

- o The Project's orientation toward local participation and local decision making is appropriate and likely to be effective.

- o At the same time, there have been significant delays due to a variety of controllable and uncontrollable factors. Field level activity has not yet begun and for this reason it is difficult to assess project impact at the village level.

- o Many of the delays and problems appear to derive from the complexity of the management structure, centralization of decision making in North Carolina, inadequate implementation planning, and poor communication between the PVO Center and the Mission.

- o Pressure to "get things moving" has meant that grant size is larger than intended, fewer grants have been made to indigenous groups and the pilot nature of the project has been lost sight of.

o To date the project has not been successful in bringing together U.S. university technicians, local consultants and local PVOs. This is due to a number of factors including the basic and straightforward nature of the needed technology, considerable in-country expertise, the high cost of off-shore technical aid and a cultural disinclination to rely on outside talent. In addition, differences in perspective between the Mission and the Center have slowed down the programming process.

o The evaluation identified several crosscutting design issues that appear to have hampered project performance including: multiple and complex project objectives; internal contradictions between objectives; different perceptions of the nature of the problem and an excessively complex organizational structure.

o The evaluation identifies several organizational and managerial problems including lack of clarity with respect to the role of the Center, inefficiency of the Coordinating Committee, the lack of authority of the Liaison Office and the ineffectiveness of technical review by an offshore Technical Support Committee.

o The principal conclusions that emerge from the evaluation are that:

- The Project is likely to be successful with respect to improving the capacity of local groups to deal with natural resource management problems.

- The emphases on simple, well tested technologies and local decision making are likely to be effective. The technical capacity for dealing with these issues is likely to be found in-country.

- The structures and relationships at the village level appear appropriate.

- While there is no question that the PVO/University Center has access to impressive technical talent, the project to date, has not been able to fully test this concept and, as a consequence, has not demonstrated an effective demand for U.S. university technical assistance. The empirical evidence suggests that demand for U.S. university assistance is considerably less than assumed when the project was designed.

- The overall project structure is excessively cumbersome and complex. It needs to be simplified and rationalized if it is to work effectively.

- The managerial fulcrum of the project is too heavily oriented toward the Center and inadequately reflects local needs, local problems and local solutions. The organizational structure should shift toward Burkina Faso.

- As a corollary, the role of the Liaison Office needs to be strengthened with unequivocal responsibility for overall project management. The role of the Center should be correspondingly adjusted. The Center should function in a support capacity.

- The Coordinating Committee should either be disbanded or restructured. Its role and function should be sharply defined and its composition should be related to that role.

- Offshore technical review has not been effective and should be terminated.

o The principal recommendations are:

- The Liaison Office should be reconstituted as the Project Management Office. The evaluation sets forth a detailed description of new functions.

- The role of the Center should be similarly recast and the evaluation describes these altered responsibilities.

- The functions of the Coordinating Committee should be distributed to other entities and the evaluation describes this allocation.

- There should be increased working contact between the Liaison Office and the Mission and a conscientious attempt to improve communications and reach common ground on areas in dispute.

- The Mission and the Center should engage in a joint re-programming exercise. The evaluation lays out the process for engaging in such an effort including a systematic review of project goals and a re-prioritization of funding needs.

II. Project Background

A. Country Context

Burkina Faso is a landlocked country of approximately nine million inhabitants. The country falls into two climatic zones: the north is Sahelian, with the rest of the country situated within a savannah belt. With a gross domestic product of around US\$280 per capita, Burkina Faso is listed among the least developed countries of Africa.

The population of Burkina was estimated at 8.5 million in 1989, and is growing at an annual rate of 2.7% per year. Over 90% of the Burkinabe live in the rural areas and derive their income from agricultural and pastoral activities which represent 40% of GDP and provide most of the country's export earnings.

Most available agricultural land consists of shallow soils, which are easily eroded and depleted of organic matter by traditional cultivation methods. Of the 8.5 million hectares of land available for cultivation, only about one third is presently used. In general, agriculture is not as productive as it could be and one of Burkina Faso's problems is its periodic failure to achieve food self-sufficiency. In spite of government plans to mechanize production and begin resettlement schemes, the poor financial returns for agricultural labor in the country and heavy outward migration of men of farming age to neighboring countries mean that sustained production increases are likely to be slow.

B. Natural Resources Management Constraints.

Demographic pressure together with the degradation of the natural resources base presents a severe challenge to Burkina Faso. The trend, as elsewhere in the Sahel, has been toward devaluation of traditional social relationships and loss of symbolic and ritual connections to the land. Migrant populations without roots to attach them to the land exploit the resource base, usually for cash crops, and then move on or return to their homeland.

The combination of rapid population growth, regional economic conditions which constrain emigration and faulty land use practices including clear-cutting, slash-and-burn, the absence of rotational planting, and ever narrowing climatic constraints, has resulted in rapid degradation of the land.

At the village level, the principal human resources constraints to sustaining the natural resources base appear to be organizational, institutional and managerial. There is general consensus that local technological capacities are considerable.

In Burkina Faso's precarious environmental setting, there is a great urgency to adopt new approaches that will encourage long term

environmental sustainability.

C. Private Voluntary Organizations in Burkina Faso

There is a strong tradition of voluntarism in Burkina Faso. There are over 150 local, non-governmental organizations (NGOs) and PVOs that are functioning in the country and hundreds of local community groups and informal voluntary associations. The expatriate American and European Private Voluntary Organizations operating in the Country include Save the Children, Africare, Plan International, Catholic Relief Services, OXFAM, Euro Action Accord and the French Volunteers for Progress.

D. USAID Strategy.

A key element of the A.I.D. strategic objective in Burkina Faso is to increase smallholder incomes and farm level productivity through better management of natural resources. To achieve this objective, OAR/Burkina has elected to strengthen the capacity of local non-governmental organizations.

E. Brief Project Description.

The Burkina Faso Pilot Village-Level Natural Resources Management Project (the Project) was submitted to the Mission as an unsolicited proposal by the Center for PVO/University Collaboration in Development (the Center) at Western Carolina University in April 1989.¹ The Project was originally conceived as a pilot project that, if successful, would lead to a 10 year effort.

The Mission's initial reaction to the Project was negative. It was felt that the Project was not appropriate for Burkina Faso, that it was inclined toward technical solution where social and cultural changes were more appropriate and that it placed excessive reliance on the provision of U.S. University consultants. The Mission's strategy and priorities at that time did not emphasize the use of PVOs which was a central element of the proposal and the Mission did not have a bilateral agreement with the GOBF in the natural

¹. The Center for PVO/University Collaboration is an organization devoted to facilitating collaboration between universities and PVOs working in development. Established in 1979, the Center is a non-profit entity staffed and managed by Western Carolina University's Center for Improving Mountain Living. The Center's membership is comprised of 17 universities and 16 PVOs. The Center's guiding belief is that working together, the two communities - - PVOs and universities - - can achieve more than either could alone. The universities have state of the art technical expertise and research and training capabilities while the PVOs have solid grass roots expertise and years of operational experience.

resource management sector. AID/W felt strongly that the Project should be funded and made appropriate adjustments in the Mission's Operational Year Budget so that this would be possible. ²

The Project was authorized by the Mission with concurrence of the Director, REDSO/WCA, in September 1989 as a three-year project with a \$2 million level of funding. A Cooperative Agreement was entered into with the Center during the same month. A.I.D. elected to use a cooperative agreement rather than an Operational Program Grant (OPG) in order to maintain substantial involvement in the implementation of the activity.

The goal of the pilot portion of the Project was to explore village level approaches to natural resource management and the ability of selected U.S. universities and local institutions to supply technical and training assistance to PVO/NGO sponsored activities. An underlying intent was to assess the benefits of a collaborative relationship between U.S. universities and local PVOs and NGOs.

The principal purposes of the pilot Project are:

- o To establish village-level natural resource management projects in selected areas of Burkina Faso;
- o To explore various methods of village involvement and to document these lessons learned;
- o To strengthen the ability of local institutions to meet the needs of development organizations that are conducting natural resource management projects.
- o To develop a system for providing appropriate technical consultations and training sessions by U.S. university consultants, in partnership with consultants from Burkina Faso, to selected U.S. PVOs and local NGOs that are conducting natural resource management activities in Burkina Faso. ³

² OAR/Burkina comments that "... the overall concept of this Center initiative was submitted and approved in AID/W prior to development of the details in the field. While OAR/Burkina, at the time, had serious concerns about the proposal, once the concept was approved by AID/W, the Mission management had to support the proposal. The subsequent USAID staff (current staff) fully supported the Center when it came to Ouagadougou."

³ OAR/B comments that the analysis in the Report of Project goals and purposes should derive from the Cooperative Grant Agreement rather than from the Project Paper. The evaluators do not agree. The two documents are similar but the Project Paper contains a much more comprehensive description of Project intent and

The Project includes the following components:

o **Sub-Grants to PVOs/NGOs.** This component is designed to support natural resources management activities directly implemented by PVOs and NGOs at the field level. Fifty percent of the overall project budget is set aside for this purpose in two target geographical zones: Tougouri and Sapone. Two U.S. PVOs, Africare and Save the Children, have responsibility for coordinating project activities in the respective zones and receive a sub-grant for this purpose. In addition, both PVOs receive grant funds for implementation of their own natural resource management activities in the pilot zones. Finally, grants are made to participating local NGOs who are functioning in the pilot zones. Because these organizations are not registered and therefore not eligible to directly receive USAID assistance, funds are channeled through the coordinating PVOs.

o **Technical Assistance and Training.** Technical assistance and training is to be provided in support of field-level activities identified by participating PVOs and NGOs. The following list is illustrative of the types of activities that may be supported: site selection and feasibility studies, field project implementation plans, technical assistance in specific areas of natural resource management.

The Project is intended to operate in the following manner:

o **Sub-grant review and approval.** A Coordinating Committee comprised of participating Burkina Faso PVOs and NGOs and including the University of Ouagadougou (UO), a private NGO membership organization (SPONG) and the government's NGO registration office (BSONG) is responsible for establishing eligibility guidelines and for reviewing proposals and recommending them for funding. The Mission participates in this process as an ex-officio advisory member. Sub grant proposals are forwarded to the Center where they receive technical review from a Technical Review Committee. The Center is responsible for final approval. Sub grants over \$75 thousand are subject to Mission approval.

o **Provision of technical assistance.** Needs for technical assistance can be identified during project review or project implementation. Requests may be processed directly to the Center through the Liaison Office.

o **In country liaison.** A Liaison Office located in Ouagadougou

strategy and better reflects the intent of the Center. As a consequence, it provides a much better basis for assessing both Project achievements and deficiencies.

is to staff the Coordinating Committee and serve as the communication link between all project partners. The Liaison Office is responsible for monitoring sub-grant project implementation; assisting in the identification and recruitment of technical assistance; documenting project activities and collecting and disseminating pertinent information.

o **Administrative Support.** The Center, in North Carolina, is responsible for overall management and implementation of the Project in both the U.S. and Burkina Faso.

III. The Evaluation

This mid term evaluation is designed to identify "lessons learned" and provide a basis for mid course corrections before the test phase, of what was thought might be a much longer effort, is completed. It was felt that it was particularly important to test the underlying concept of PVO/university collaboration in a field setting to determine if the combination of U.S. university and local technical resources would yield sustainable benefits at the village level.

The two broad objectives of this evaluation are to:

- o Assess project performance to determine whether Project objectives are being met;
- o Evaluate the continued validity of the assumptions upon which the Project rests.

The evaluation focuses on such matters as the adequacy of procedures for review and approval of sub-grants, the effectiveness of the Burkina Coordination Committee and the Liaison Office, and communications among Project participants. Particular attention is paid to the efficacy of establishing relationships among U.S, university participants, local technical resources and PVOs and NGOs. The evaluation includes an assessment of the factors that have enhanced or hampered achievement of Project purposes and an assessment of whether and to what extent Project objectives, both administrative and programmatic, are still valid.

This evaluation consisted of four phases:

- o Background analysis and a two day visit to the Center in Cullowhee, North Carolina.
- o Approximately ten days of in-country interviews and field trips to the two Project sites.
- o Preparation of a draft report containing findings,

conclusions and recommendations.

o Comments from USAID and the Center, to be incorporated as needed and appropriate, leading to the final report.

The Evaluation Report is divided into eight sections. The first three sections provide background information. Section IV is the heart of the evaluation. It discusses performance to date against plan and the validity of project goals and purposes in light of experience gained to date. The discussion in this Section is divided into **Findings** and an **Assessment of Findings**. Crosscutting design issues are also discussed in Section IV.

Section V discusses Project operation including Project structure and procedures for sub-grant review and approval. Section VI and VII set forth Conclusion and Recommendations respectively while the final Section provides appendices of relevant documents.

An important general caveat in reading this document is that only limited Project activity has occurred to date. As discussed in the analysis, Project designers had assumed that the project would be fully operational in the first year and scheduled the evaluation at the conclusion of year #2 on this premise. In fact serious delays were encountered, particularly in signing an agreement with the Government of Burkina Faso, and the Project is well behind the anticipated schedule. For this reason, the evaluators were not able to formulate definitive conclusions with regard to all aspects of Project performance.

The views and conclusions set forth in this Report are those of the evaluators. Inevitably these diverge in some important respects from the views of the two major participants, OAR/Burkina and the Center. The process for preparing this evaluation wisely included an opportunity for comment from the Mission and the Center and a number of errors, inconsistencies and misjudgments have been corrected as a consequence. In several instances, however, the evaluators either did not concur with the comments that were received, felt they were not germane to the central argument or found it impossible to reconcile conflicting views or different interpretations. In these instances, the comment is summarized as a footnote to the body of the document.

Finally, the evaluators proceed on the assumption that the principal value of an evaluation is to look forward to the correction of Project deficiencies and to improved future project design, rather than backward to a search for culpability.

IV. Project Assessment

A. Project Implementation to Date Against Plan.

FINDINGS

The Project Paper sets forth a Work Plan and basic implementation schedule. That schedule established specific targets by quarter for the first year of operation (September, 1989 through September, 1990) and more general objectives for the balance of project life. A "rolling" planning process was envisioned and it was assumed that a detailed implementation schedule by quarter for Year #2 would be constructed at the completion of Year #1.

The Project Paper indicated that:

"In the first year of this pilot project there will be fairly rapid implementation due to the amount of preparation done by all participants prior to funding....U.S. PVOs operational in Burkina are prepared to move rapidly into implementation [and] the PVO/University Center has received both long-term commitment and general agreement on project purposes from participants."

Specifically, for year #1 it was hoped that:

- o An agreement with the Government of Burkina Faso establishing the legal basis for operation in the country would be obtained within 30 days of the signing of the Cooperative Agreement dated September 27, 1989.

- o The Technical Support Committee and the Burkina Faso Coordinating Committee would become operational and procedures and review criteria would be established.

- o Roughly 7 projects in the test areas would be developed, processed through the system, reviewed and funded. (The Illustrative budget forecast that 35 % of grant funds would be committed in year #1 and that a cumulative 80% would be committed by the end of year #2.)

- o Close working relationships would be established with the University of Ouagadougou and other prospective in-country resources, including the development of a "baseline data collection system" and creation of mechanisms to facilitate collaboration between the faculty of UQ and U.S. universities.

- o A Project Office would be established, staffed and fully operational at the Center in North Carolina.

- o A Liaison Office would be established, staffed and fully operational in Burkina Faso under FEER auspices.

o A system for the provision of technical assistance would be designed and installed including a roster of U.S and local consultants. It was estimated that roughly half of the funds for documentation and dissemination would be spent in Year #1 and that 1/3 of the funds for technical assistance would be committed.

o Operating procedures and information systems would be designed and installed for all entities comprising the Project.

o A final implicit assumption was that in-country project activity involving all participants - - U.S. technicians, the University of Ouagadougou, U.S. PVOs and local NGOs - - would have reached a level of active interaction to begin to produce some of the synergistic benefits that the Center had anticipated.

To date, accomplishments against Project objectives have included:

o Nine sub grant applications have been developed in conjunction with Africare and Save the Children and six of these have been reviewed and approved by the Coordinating Committee.

o A delivery structure and process has been developed with the two coordinating PVOs and cooperating NGOs that will allow project implementation to begin at the local level.

o Local PVO/NGO/community group coordinating mechanisms appear to be emerging in partial consequence of anticipated sub-project start up.

o The basic structure of a Liaison Office has been established and a capable staff person has been employed to serve in the number two position.

o Operating procedures and project review criteria have been developed and widely disseminated and the role and functions of the Coordinating Committee have been defined.

o Considerable information and experience has been obtained with regard to achievement of Project purpose and Project operations and structure. In view of the pilot nature of the Project, this is an important positive consequence. ⁴

⁴ OAR/Burkina comments that "The report overemphasizes the term 'pilot project' and appears to make excuses for lack of performance in certain areas because of the Project's pilot nature....Pilot activities must measure up to the criteria established in the grant agreement and be measured by USAID's

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At the same time, there have been significant delays against the schedule set forth in the original Project design. Specifically:

- o Implementation of sub-grant activities has not yet begun, although funds for five grants have been obligated constituting 58 % of the grant budget. (Both coordinating PVOs have initiated some field activity in anticipation of subsequent funding.)
- o Only a modest portion (27%) of the two year technical assistance budget has been committed (or 41 % if a vehicle purchase is included), for a consultant's survey of natural resource management activity in Burkina Faso, and for two technical studies for Save the Children in the Sapone District.
- o Although the Liaison Office has been established, it has yet to become fully staffed and effectively operational.
- o The type of close collaborative working relationships with the University of Ouagadougou envisioned in the Project Paper has not materialized although some constructive interactions have occurred.

Project performance against plan was discussed in a long, very detailed Internal Review prepared by the Center in May, 1991. That document was prepared in response to a belief by the Center that there were significant differences of view between the Center and OAR/Burkina with regard to the basic direction that the Project was taking. The Center believed that these differences were slowing down project implementation and that they needed to be addressed. The Review noted that the Project was "significantly behind the implementation schedule" set forth in the Project Paper. It went on to identify a number of controllable and uncontrollable factors that had retarded project activity particularly during the first year of operation, including:

- o An eight month delay in project approval from the GOBF due to the fact that the Center did not fall into the GOBF's categorical definition of a PVO.⁵

established procedures." *

⁵ The Center comments that under the terms of the Cooperative Agreement the Center could not undertake any in-country activity until the agreement with the Government was finalized. As a consequence, it was not possible for the Center to send personnel to Burkina Faso to obtain approval from the GOBF or to lay the ground work for project implementation. OAR/Burkina comments that the Report should place greater emphasis on the role that the Mission played in obtaining GOBF agreement to proceed, "It was

o Dissolution of a an anticipated partnering arrangements with an organization (FEER) that had initially agreed to provide office space and support services which would have enabled the Liaison Office to start operations quickly and without the inevitable delays and costs associated with locating and equipping a new office.

o Resignation of the first Liaison Officer after a few months of work and the withdrawal of the leading candidate to replace him.

o Typical logistical and administrative delays associated with finding competent local staff, locating an office, purchasing equipment, acquiring related support services, etc.

o Delays associated with the proposal review process which proved to be more challenging and cumbersome than anticipated.⁶

ASSESSMENT

It is beyond the scope of this evaluation to attempt a comprehensive codification of all of the delays that this Project has faced, to assign fault and to determine whether in each instance these problems could have been anticipated. The Internal Review conducted by the Center and the detailed Quarterly Reports provide much of that information.

OAR/Burkina's persistence and dedication which facilitated the Center's final approval from the Burkina Government to operate in Burkina."

⁶ In addition, the evaluators concluded that differences between the Mission and the Center with respect to the validity and basic purpose of the Project slowed down implementation and made effective communications difficult. OAR/B takes strong exception to this point and feels that the Mission did not constrain Project activity in any way. The evaluators agree that the Mission did not intentionally slow down Project implementation but as discussed at great length in the body of this evaluation there were fundamental differences of view with regard to the basic nature of the Project including the utility of U.S. university technical assistance, the need for technical studies and the wisdom of working through U.S. PVOs rather than local organizations. These differences were discussed at length in the Internal Review and were echoed in interviews with the coordinating PVOs and with Center and Mission staff. In summary and as described to the evaluators, the Mission (with understandable justification, given the genesis of the Project) viewed it as a U.S. University "technology drop". This clearly had a chilling effect on communications with the Center, exacerbated by the cumbersome administrative structure.

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Implementation delays in projects of this complex scope are common.⁷ It is impossible to anticipate the myriad of start up problems that a new project will have to face. Nevertheless, in the case of this Project there are a number of "lessons learned" that are instructive and germane to an assessment of Project performance and that should guide project redesign, if that should occur. Underlying reasons for delays in implementation appear to include:

- o The complexity of the management structure and the offshore location of authority. These factors inevitably slowed down decision making particularly in the formative stage of project implementation when roles and relationships were being defined.⁸

- o Inadequate detailed implementation planning coupled with a limited knowledge of the country, of the PVO/NGO community and an inadequate understanding of AID procedures.

- o Differences of view between the Mission and the Center regarding the utility of technical studies which the Center believed were important if the concept of U.S. university collaboration was to be effectively tested.

- o Finally and importantly, in the case of the U.S. technical assistance portion of the Project, delays appear to be due in significant part to an absence of felt demand for the resource offered under the Project.

The consequences of these implementation delays in the context of a three year life of project was a growing desire to "get things moving", to process grant applications and to commit funds. This in turn appears to have influenced several important decisions with regard to structuring the grant portfolio including:

- o The average size of the individual grants was considerably larger than originally anticipated and the number of participating organizations was consequently smaller.

- o Some of the early village level spade work that it was thought the Liaison Office would do in connection with problem identification and cultivation of local interest was either

⁷ OAR/B comments "We do not agree with this paragraph. The scope of the Project... is very straight forward and all of the purposes are attainable."

⁸ In the view of the evaluators, this was exacerbated by a reluctance on the part of the Center to commit funds and personnel aggressively at Project inception in order to establish forward momentum.

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not done or turned over to the coordinating PVOs.

o It was decided to give coordinating PVOs both coordinating grants to work with local groups and implementation grants to finance their own activities.

Finally, pressures to implement and have an impact as quickly as possible appear to have diverted attention from the fact that this was a pilot project designed to determine if the approach should be replicated on a wider basis.

B. Project Performance Viewed in the Context of Project Purposes.

1. Improving the Capacity of Local People and Institutions to Plan, Manage and Monitor Natural Resource Activities.

The overall long term goal of the Project is: "To improve the capacity of local people and institutions in Burkina Faso to plan, manage, and monitor natural resource activities in order to reverse the trend toward long-term ecosystem damage there and throughout Sub-Saharan Africa."

One of the three goals of the three year phase of the Project is to "establish "explore and document various village level approaches to natural resource management so that by the end of the project, lessons learned will point the way for future village efforts in this field." Purposes related to achieving this pilot goal include establishing village level natural resource management projects, exploring methods of village involvement and strengthening local institutions.

FINDINGS

As noted elsewhere, Project activity to date at the local level has been minimal. Coordinating PVOs have furthered their existing contacts with NGOs and community groups and there has been collaborative activity in connection with preparation of sub-grant proposals. In addition, two research studies and a natural resource management survey have been conducted.

The following is a brief description of Project activity to date as it relates to the primary goal and the sub-goal of the pilot phase:

Sub-grants

A total of six sub-grant projects are currently in various stages of design or implementation. They include:

o Two zonal coordination sub-grants, one to Africare and one to Save the Children. These sub-grants support the

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core costs incurred by each organization in connection with the coordination of PVO and NGO activity in the pilot zones. Both proposals have been reviewed in-country, approved by the Center and funds have been disbursed.

o Two implementation sub-grants to Africare and Save to conduct their own natural resource management activities in the two pilot zones. Both grants have been approved by the Center. Funds have been disbursed in the case of the Save grant and disbursement is imminent in the case of Africare.

o Two sub-grants through Africare and Save to two local NGOs - - ABAC and AVL. No funds have as yet to date been disbursed under either of these activities.

o In addition to these six, two other sub-grants through Save to two other local NGOs are in the design stage.

The content of these sub-grants is briefly summarized below:

Africare, Tougouri Coordination, \$131,872

Tougouri is one of two pilot zones. It is located 178 km from Ouagadougou with a population of 120,000. The area was deliberately chosen because of the relatively few number of NGOs and the severity of the natural resource problems. Africare is to work with and coordinate the activities of the few other NGOs in this area as well as work with village groups. Africare is new Tougouri and activity to date has been modest. The grant covers field representation and headquarters support costs,

Save the Children, Sapone \$79,842

This sub-grant covers the costs of coordinating pilot Project activities in Sapone. While the specific activities to be undertaken by Save will vary from those of Africare, the overall goals of both sub-grants are similar. Save has worked for several years in Sapone, and has collaborated with four local NGOs. Specific activities include both formal training courses and individualized training of local NGOs in project design, proposal writing, financial management and the technical aspects of natural resource management.

Africare Natural Resource Management, Tourgouri, \$156,540

This sub-grant will allow Africare to directly implement projects in Tougouri. The project is designed to help villages undertake such natural resource management

activities as needs assessments, assistance to local groups in proposal/project development, funding of specific natural resource management activities identified by local groups, management and accounting training, monitoring and evaluation. Ten highly motivated village groups have been identified in the zone's 40 villages (population over 50,000) to become partners with Africare in planning and implementing improved agricultural and environmental practices.

Save, Sapone Market Gardening, \$78,988

Save will implement this activity directly in Sapone. The project is intended to link food security and natural resource management by improving the gardeners' abilities to plan their production in coordination with market variations and family needs. A hundred gardeners from Sapone will eventually be trained in gardening and environmental management techniques. Training includes classes led by an agronomist from UO. In addition, the project includes village seminars on community organization and gardening, exchange visits for village gardening leaders to study markets in Ouagadougou and gardening in other zones in Burkina. Women gardeners, often neglected in training programs elsewhere, are to be recognized and involved.

Assoc. Vive Le Paysan (AVLP), Village Land Management and Restoration Project, Sapone, \$129,188. (Not yet submitted for review.)

This project, is to be managed and implemented by a Burkinabe NGO based in Sapone, but with support and monitoring by Save, the Coordinating PVO in the zone. A sub-grant will be made to Save and a subsequent grant will be made to AVLP.

Association Burkinabe Pour L'Action Communautaire/ABAC. (Not yet submitted for review.)

ABAC, a local NGO organized in Sapone in 1987, supports local groups with activities in four areas: agriculture, livestock management, environment, women's self-promotion. Funds will be channeled through Africare.

Technical Studies

Two research studies with training components have been funded under the technical assistance portion of the Project. Both are managed by Save.

The **Surface Water Study** is expected to apply what is

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already generically known about surface water resource management in Burkina to the specific local characteristics of the pilot zone. The Study (April-October, 1991) employed professors, engineers, technicians, and technical students to study ways to improve surface water resources management in Sapone.

The **Anti-Erosion Impact Study** (April-December, 1991), also under Save supervision in Sapone, was undertaken by a Pan African engineering school associated with the UO. In this study, three research students and a technician from UO conducted a supervised analysis in the field, participated in a training session for field agents, and assisted other Project partners to prepare proposals for anti-erosion activities. Like the Surface Water Study, this effort focused on in-country experience and applied that experience to the special conditions in the pilot zone.

ASSESSMENT

Because field level implementation has not yet begun, the following observations are based on a review of sub-grant documents, on discussions with PVO and NGO officials who will be responsible for sub-project management when Project activity begins and on site visits to the two Project zones.

o It appears that an effective PVO/NGO structure has been established for delivering training resources in natural resource management to the local level. The fabric of relationships between the Liaison Office, coordinating PVOs, cooperating NGOs, local leaders and community groups and involving periodic technical support from the UO appears to be manageable and workable. Despite the difficulties faced in fashioning this framework, the Evaluation Team believes that it has the potential capacity to deliver training resources that will impact on local natural resource management problems.⁹

o The orientation in all sub-grants toward local decision making, local technical capacities and community level institution building is, in the view of the evaluation team, appropriate. The Team believes that this village level

⁹. The creation of a structure to deliver AID resources from the national to the local level in a sectorally targeted fashion is no mean feat. As the Agency increasingly grapples with the challenge of working directly with local organizations and community groups while at the same time retaining appropriate mechanisms of accountability and oversight of funds, it may wish to examine the utility of the Burkina Faso model.

emphasis is one of the major strengths of the Project. ¹⁰

o There is broad agreement among those interviewed that the technical content of the sub-grant proposals is appropriate for the local context and likely to be effective in achieving useful results. While the Team heard occasional concern that sub-project proposals could be more innovative, on the basis of field trips and discussions with technically qualified advisors, it concluded that technical content was of good quality.

In this connection, it was apparent to the Team that the type of interventions planned under the sub-grants involve well known technologies and approaches currently practiced in other parts of Burkina Faso and the Sahel. These are interventions that are well understood by AID and other donor agencies and Sahelian institutions and that have been tested in Burkina Faso.

What is unique about this Project is not the technical componentry but the collaborative institutional structure that is being put in place to utilize the considerable capacities that already exist at the local level.¹¹

o In a related vein, the Evaluation Team was impressed with

¹⁰ There is a perception, particularly in the USAID Mission that the Project incorporates an implicit emphasis on research and the potential importation of sophisticated and possibly inappropriate technical inputs. Whether this is an accurate assessment is difficult to determine given the modest amount of technical assistance activity to date. The Center, however, is sensitive to this criticism and has pointed out to the Evaluation Team that the technical assistance component of the Project was never intended to do "research" and the type of assistance envisioned from U.S. universities was to be practical, field tested, provided by specialists with considerable grass roots experience and designed to augment the local capacities of PVOs and NGOs. As discussed in other sections, this difference in perception made it difficult to find a common ground with respect to fundamental Project purpose.

¹¹ OAR/Burkina disagrees. "This paragraph is erroneous if not an over exaggeration. These institutions have been in-country for some time and have long been collaborating, e.g. the partnership between Save the Children and AVL P prior to the Project." While the evaluators accept the fact that collaborative relationships between NGOs and PVOs already exist, they feel that further encouragement of these relationships is a valuable Project consequence.

the capacity of local NGOs to tap available in-country technical expertise. There appears to be an effective informal information network that local leaders and community groups utilize to locate the right outside talent to help them resolve the natural resource management issues that they confront.

o While the Evaluation Team was favorably impressed with the in-country Project structure and with the village level emphasis and orientation of proposed sub-grants, it did have several reservations:

- The decision to give U.S. PVOs both a coordination grant and an implementation grant is consistent with a strategy of getting activity moving quickly, having an impact in the villages and using well qualified organizations to accomplish that objective. The disadvantage is that it forgoes the opportunity to cultivate additional local NGOs and help to build their long term institutional capacities.¹²

- The administrative and overhead component of the sub-grant budget is considerable, constituting 17% of the total amount approved to date. This is not to suggest that the overhead rates are excessive or that the administrative charges are inappropriate - in fact, they are quite modest. However, the necessity to allocate funds to local NGOs through a registered entity inevitably increases administrative costs and diverts funds that could otherwise be used for program purposes.

- While most sub-grant proposals accorded attention to the importance of replicability, the Evaluation Team was not convinced that in all cases the participants had thought through the mechanism that would be employed to bring this about.

o With regard to technical studies funded to date the Evaluation Team concluded that they were in line with project goals. The focus of these studies was on Burkina Faso conditions and experience and on the application of that experience to the pilot zones. The Team felt that this

¹². This is a major concern of the Mission and it is one with larger implications as American PVOs adjust to their new relationship with competent and self confident local organizations who understandably want to have a central role in the development of their own country. The dilemma for American PVOs is how to adapt to the new role of mentor and facilitator and at the same time continue to implement a sufficient number of projects to remain relevant and attractive to donors.

orientation was appropriate and that it furthered underscored the in-country orientation of this Project.

o Finally, the Team was favorably impressed with the professionalism and commitment of the staffs of the PVO and NGO partners interviewed in the course of this evaluation. They invariably displayed an excellent understanding of the Country and of Project goals and procedures and a sensitive appreciation of how to function effectively at the community level.

2. Explore the Ability of U.S. Universities and Resource Institutions to Supply Technical and Training Assistance to the PVO/NGO sponsored village level projects

A goal of the pilot phase of the Project was to explore the ability of U.S. universities to supply technical assistance to PVO/NGO village level activities and a supporting Project purpose is to:

"Develop a system for providing appropriate technical consultations and training sessions by U.S. university consultants in partnership with consultants from Burkina Faso to selected U.S. PVOs and NGOs that are conducting natural resource management activities in Burkina Faso."

FINDINGS

The objectives set forth above are based on the important premise that, as stated in the Project Paper, "A critical need of village-level efforts [sic] in natural resource management is readily accessible on-going technical assistance appropriate to the environment...." It was anticipated that the combination of U.S. university expertise with expertise at the UO and elsewhere in Burkina Faso would respond to this need. Bringing together U.S. universities, local technical resources, together with PVOs and NGOs, would create effective, complimentary and "synergistic" partnerships to deal with natural resource management problems.

Specifically, it was envisioned that the provision of technical assistance would be carefully coordinated with grant projects and that technical support could consist of "anything from pre-site selection advice, to feasibility studies, to field project implementation plans, training designs, specific technical problem solving to periodic progress reviews." An additional objective was the strengthening of the capacity of the UO to conduct extension activities.

Technical assistance needs were to be identified primarily in relation to the design, development and review of sub-grant proposals. Technical review by the PVO University Center and by the local Coordinating Committee would identify deficiencies in sub-grant project design or the need for technical assistance in

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connections with project implementation. Proposals need not be processed through the local Coordinating Committee. In selecting consultants preference was to be given to Burkinabe and, if an American consultant was used, that individual would, in all cases, be paired with a resident. Consultants were to be drawn from a data base to be prepared jointly by the Center and the Liaison Office in Burkina Faso.

The Project budgeted a total of \$270,000 for U.S. and local technical assistance spread in roughly equal proportions during the 3 year life of project.¹³

To date only a very small amount of the technical assistance budget has been committed for a survey of natural resource management activities and two technical studies for Save the Children.

Difficulties in programming these funds include:

- o Disagreement between the Center and the Mission on the need for proposed studies. (While there are multiple concerns, the Mission was not prepared to approve off-shore technical experts if, in their judgement the capacity existed in-country.)

- o A related and underlying Mission concern is that technical assistance funds should not be used to finance U.S. university research efforts that are not directly relevant to the needs of Burkina Faso. This echoes a basic reservation that the Mission had at Project inception with respect to Project purpose and relevance to Burkina Faso.¹⁴

- o Absence of a mechanism to proactively stimulate the demand for technical assistance and a general failure to establish those linkages and relationships between the U.S. universities and the UO that would spin off creative ideas for collaborative work.

- o The availability to both Save and Africare of headquarters technical assistance talent to assist in project preparation, review and implementation.

¹³ Assuming a 50:50 ratio between U.S. university technical assistance and local technical assistance, the Project budget would have provided for roughly 12 one person U.S. university three week consultancies and 44 one person three week local consultancies. This calculation is based on an average cost of about \$10,200 for the U.S. consultants and \$2,700 for the local consultants.

¹⁴ The Center argues that this is an issue of perception not reality since "research" has never been a Project purpose.

It is unclear to what extent foreign technical assistance in the area of village level natural resource management is needed in any case. This is an important issue because it brings into question the premise supporting the technical assistance fund and the basic rationale for U.S. university collaboration.

ASSESSMENT

While this evaluation cannot provide a definitive assessment of the nature and depth of demand for technical assistance, based on interviews, the Evaluation Team developed the following preliminary impressions:

o There is broad consensus that Burkina Faso has an impressive human resource base and that it possesses most of the technical skills to deal with the great majority of practical problems of effective natural resource management at the village level. This conclusion is endorsed in the Dyck/Lynham survey which noted that "... much of the technical expertise needed to help implement sound natural resource management practices at the village level already exists in Burkina Faso."

o There is a supporting consensus view that villages and local communities are the entities best suited to identifying and dealing with natural resource management issues and constraints that they face. In many instances the technology to deal with these issues already exists with local organizations. To the extent that this is not the case, expertise is believed to be available in-country.

o There is less consensus as to whether existing institutional structures are effective in responding to local needs and in getting the appropriate form of technical help to the local community. The Dyck/Lynham Survey noted that "...getting access to technical assistance and training is often difficult." because of insufficient numbers of and funds for extension agents and poor communications between academic researchers, local NGO personnel and farmers. In partial contrast, the UO has considerable practical, hands on competence in dealing with local natural resource issues. Moreover, local NGOs and community groups appear, on the basis of a small sample, to have effective vertical contacts and relations with the UO and are able to access the type of technical support that suits their purposes.

o There are some areas in which both PVOs and NGOs could effectively utilize additional technical guidance in project design. Mission and Center staff have voiced concern with respect to the technical depth of several of the sub-grant proposals and both Coordinating PVOs have recognized the value of additional technical help at the early stage of project

life. There is general agreement, however, that the source of this assistance should be in-country.

o In summary, the prospects for involvement of U.S. university consultants in providing technical assistance to village level natural resource management activities appears to be small.¹⁵ While contacts between staff at the UO and American universities might be an enriching and valuable experience for both and could result in a mutual strengthening of institutions, it is not clear that it would significantly improve the simple techniques currently accepted at the village level.¹⁶

These observations suggest two changes in Project design:

o The amount of funds now available (\$240,000) for technical assistance will probably not be fully utilized and to the extent that it is used it will go in large part for the services of local technical talent.

o As a consequence, the workload of identifying and processing technicians will be reduced and at the same time will shift from the Center to Burkina Faso.

Whether a significant effort should be made to establish mechanisms that would facilitate the flow of technical assistance to local villages from (for example) the UO, is unclear and warrants further analysis. One approach would be to establish some type of coordinating entity at the University that would process requests for technical help from NGOs and local groups. An alternative would be to compile a simple roster of University and other in-country

¹⁵ The Center comments "Since there has been little technical assistance to date particularly in the design phase of sub-project proposals, there has been no real test to determine whether technical assistance could assist the PVOs and NGOs in designing better projects." From the Center's perspective, the active involvement of U.S. university technical consultants was to be the prime means of demonstrating the value of outside technical assistance. Since virtually no technical assistance was approved, this did not take place.

¹⁶ It is important to emphasize that the Evaluation Team is not arguing that those universities associated with the Center lack the technical or interpersonal capability to function effectively at the village level and to transfer appropriate techniques in the area of natural resource management. The Team did have an opportunity to visit the Center and to meet with several of the individuals associated with Center programs and was very impressed with their credentials and with the array of technical talent that the Center appears able to draw upon.

resources for local use.

3. Crosscutting Design Issues

In addition to assessing Project performance in relation to the individual purposes set forth in the Project Paper and discussed above, the Evaluation Team identified several crosscutting design issues which need to be taken into consideration in evaluating Project performance.

o **Disentangling multiple objectives.** The Project has a broad assortment of purposes including local impact on natural resource management practices, PVO/NGO institutional capacity building, the structuring of local and national networks and relationships, the creation of an information and documentation capacity, establishment of collaborative linkages with U.S. universities, and technology transfer from these universities. This is only a partial list and in conducting the evaluation the Team was struck by how frequently an additional purpose would be added to an already long and ambitious list of prospective achievements.¹⁷

The bundling of multiple purposes is not infrequent or inappropriate in an established activity where there is broad acceptance that the approach or methodology is workable and general agreement on probable outcomes. It is much more problematic in the case of a "pilot" activity where the intent is to test the validity of a concept, as is the case in this instance. The consequence of compressing too many objectives into a pilot activity is that because there are so many interacting variables, it is extremely difficult to reach agreement on causation and on outcomes. This is particularly true when the participants have different institutional perspectives.¹⁸

¹⁷ OAR/B disagrees with this assessment and comments that "... the statement 'disentangling multiple objectives' implies a highly complex undertaking. We believe that the Project Purpose stated in the grant could not have been more simple and direct."

¹⁸. The dilemmas that arise when different objectives are combined in a pilot project is graphically illustrated in a recent memo from the Project Director to the OAR/B Representative that discusses the varying perspectives on fundamental Project intent. Commenting on the fact that the Mission had reacted negatively to a technical assistance proposal put forward by the Center, the memo proceeds to the Center's philosophy of PVO/University collaboration and argues that the testing of this concept was a stated purpose of the Project and that the technical assistance proposal is within the boundary of this intent. The memo argues that: "... there is difficulty when and much trouble may stem from viewing the

o **Internal contradictions between objectives.** A related crosscutting design problem is that there is an unstated tension and in some instances a contradiction between basic Project purposes. This is most evident in the unresolved tension in the Project between an emphasis on institutional capacity building of PVOs and NGOs on the one hand and the implementation of natural resource management projects on the other. Both are valid and important objectives, but the **project structure** for a capacity building project is different from the project structure for an implementation project.¹⁹

o **Excessive dependency on structure and organization.** The effectiveness of the Project depends to a very great extent on the efficiency and effectiveness of the overall organizational structure and the capacity of that structure to become quickly operational. As noted elsewhere, the Project design made optimistic assumptions with respect to speed of start-up and the myriad problems and obstacles that would hamper the early stages of implementation. These problems were exacerbated by the weight of the organizational structure, the complexity of roles and procedures and the dispersal of managerial and decision making authority. An important lesson that has been validated in the case of this pilot activity is that project structures need to be simple, flexible and adaptable, particularly during the initial phase of Project life.²⁰

[Project] as a typical PVO activity or even as an umbrella project involving Burkina NGOs and/or casting it too much in the mode of an AID project. Accordingly, the essential "pilot" characteristics of the Project and the collaborative processes which are basic to it are in danger of being submerged...Unfortunately, the PVO University Center and its project partners are not being allowed to test the full model."

¹⁹. OAR/B comments that they see no internal contradiction between objectives. However, the issue was the subject of a lengthy discussion in the Internal Review prepared by the Center in May, 1991. That document responded in part to what the Center felt was a Mission perception that the Project had become a capacity building activity at the expense of village level natural resource management. The question was rooted in a Mission concern regarding support grants to PVOs to pay for the coordination of PVO and NGO activity in the designated pilot zones. The Mission's concern, put simply, was that too much money was being spent on administration and overhead and not enough on implementation.

²⁰ OAR/B disagrees with this assessment and argues that the principal problem was the absence of an in-country presence to negotiate protocol delays with the GOBF.

V. Project Operation

A. Project Structure.

FINDINGS

The overall Project structure is set forth in the Project Paper and is elaborated in the Implementation Plan and in subsequent documents. To briefly summarize:

o **The Center** has overall managerial and decision making responsibility including planning, staffing and coordination. Specific functions include final approval of sub-grants, operation of the U.S. Technical Support Committee, identification and location of requested U.S. university technicians, supervision of the Liaison Office, project monitoring, funds control and financial management.

o **The Liaison Office** has a number of support functions including the facilitation of in-country communication, support to local Coordination Committee meetings, communications with the Center, assistance to PVOs and NGOs in project preparation, scheduling and logistical support, monitoring, record keeping and documentation.

o **The Coordinating Committee** has both policy making and advisory responsibilities. Its functions include the formulation of overall Project policies, the design and adoption of procedures and review criteria, the review of sub-grant proposals. The Council is composed of the two coordinating PVOs (Africare and Save), local participating NGOs, SPONG, BSONG, and the UO and CRS.

o **Coordinating PVOs**, receive sub-grants under the Project to coordinate a variety of activities in a particular geographic zone and, in addition, they act as "pass through" agents for sub-grants to local NGOs. In the former capacity, they establish a local capacity to provide information about the project to local groups, help with project preparation, provide needed training and technical advice. In the latter capacity they monitor performance and serve as the fiscal agent for the Project.

o **The U.S. Technical Support Committee** is charged with review of field project proposals for technical clarity and content and for making suggestions with respect to appropriate technical assistance and training needs.

o **The USAID Mission** while not given an explicit and defined role in the various implementation documents has played an important function in guiding project direction and in raising fundamental issues with respect to project purpose. The

Mission's defined role is limited to an ex-officio advisory membership on the Coordinating Committee with reserved authority to approve all sub-grants in excess of \$75,000. Partly because most grants have exceeded that limit, partly because of the cooperative nature of the grant and partly because of concerns with respect to Project purpose, the actual role has been much greater.

There is broad consensus among all Project participants that the basic Project structure is deficient in a number of important respects. While not all participants have the same list of complaints and while the coordinating PVOs felt that the situation was improving, there is general agreement that the structure is cumbersome, that roles and responsibilities are unclear and occasionally overlap and that communication is poor.²¹ Specific concerns, by participating entity were as follows:

o **The Center.** Project participants noted that there is poor communication between the Center and the Mission, discussed elsewhere at greater length in this Report. It is felt that the role of the Center is not understood by the Mission or by Coordinating PVOs. Offshore management of the Project is believed to contribute to unnecessary administrative delays. Participants see the Center as insensitive to local priorities and local needs and there is the perception that the Center is preoccupied with the research needs of U.S. universities.²²

o **The Coordinating Committee.** There is broad agreement that the Coordinating Committee has not functioned efficiently. It has been difficult to schedule meetings and attendance has been poor. There is a general frustration with the redundant and inconclusive nature of many of the meetings. The Committee does not seem to have yet performed the catalytic coordinating role envisioned for it. These problems are related to the deficiencies in the staffing and amenities of the Liaison Office.

o **The Liaison Office.** It is felt that the Liaison Office lacks sufficient authority to accelerate Project activity, a problem exacerbated by staffing and office location and start up

²¹. It is important to underscore the fact that this discussion deals with the implications of organizational structure, not with individuals or personalities.

²² The Center comments in way of explanation that at several points during implementation of the Project, the Center had to intervene when other participants failed to take action, e.g. defining the roles of participants, developing project selection and site selection criteria. Part of this was due to turnover among Project participants including the PVOs, SPONG and the UO.

problems.

o **The Technical Support Committee.** The utility of the Technical Support Committee and the value of "long distance" technical review is seriously questioned by the PVOs who have been involved in this process.

o **USAID.** There is confusion regarding the level and intent of USAID involvement in the project review and approval process and a broad concern that the Mission is unwilling to delegate managerial authority as envisioned in the original concept.²³

ASSESSMENT

In evaluating the overall structure of the Project the Evaluation Team has developed several general impressions:

o The Project structure is excessively complex and needs to be simplified if roles and relationships are to be clarified and if communications are to improve. Despite a very honest effort to clearly think through and delineate roles, the multiplicity of actors and the inherent difficulties of operating across considerable geographic and cultural distances makes it almost inevitable that a complex structure of this nature will face difficulties.

o Authority for project management is dispersed in too many locations including the Center, USAID, the Coordinating Committee and, to some degree, the Liaison Office. Thus, policy is shared between the Coordinating Committee, the Center and USAID; technical review is shared between the Coordinating Committee, the Technical Support Committee, the Center, the Liaison Office and, ipso facto, USAID.

o The locus of decision making authority and managerial responsibility is not located where the real problems lie - - in Burkina Faso. As emphasized in the original Project Paper and as manifest to the Evaluation Team, the principal challenge in the case of this Project is to forge effective horizontal institutional relationships at the community level and vertical relationships between community and national level organizations. This is a formidable task and one that

²³ OAR/B feels this statement is incorrect and refers to the language of the Grant Agreement which outlines the role of USAID. The point that the evaluators are attempting to make is not that the Mission has in any way acted inappropriately but that an "observer" status for the primary funder can inadvertently send confusing signals. In the final section, the Report recommends that the Mission have clear and explicit approval/disapproval authority.

cannot be managed from overseas. ²⁴

o The current project structure serves to reinforce the assumptions and biases that participants have instead of ameliorating these differences. This is particularly the case with respect to U.S. technical review of local projects and U.S. approval of local grant proposals.

B. Procedures for Sub-Grant Review and Approval

FINDINGS

The Project budget includes \$1 million for sub-grant activity. In the Project Paper it was anticipated that the average size of sub-grants would be roughly \$50 thousand and that approximately 20 sub-grants would be awarded during life of Project. In contrast, the average size of the signed grants approved to date has been \$112 thousand. Procedures for awarding these funds are outlined in the Implementation Plan. Project Selection Criteria were adopted by the Coordinating Committee in December, 1989. In summary:

o Proposals evolve through a multi-stage review and approval process involving the Liaison Office, the Coordinating Committee, the U.S. Technical Advisory Committee and finally the Center for final approval. While the Coordinating Committee cannot give final approval, it can and does act to reject proposals or at least return them for further work. Additional in-country technical review may be required if, in the judgement of the Liaison Office, it is needed. For sub-grants in excess of \$75,000, OAR/BF approval is also required. (In the case of local NGOs there is an additional first step involving review and endorsement by the coordinating American PVO.)

o Project selection criteria set forth eligibility requirements, funding limits, and several programmatic

²⁴. If Project Management responsibility is located in Burkina Faso, it can either be placed in the hands of the Liaison Office, or with the coordinating PVOs. There are pros and cons to each option. The advantages of relying on the coordinating PVOs are cost, simplification of Project structure and the opportunity to further strengthen the institutional capacities of these groups. The disadvantage is loss of coherent, strategic direction to Project activity, and disappearance of an objective intermediary. The advantages of relying on the Liaison Office is that it can provide coordinated direction and would probably be more responsive to Mission concerns. The disadvantage is that its responsibilities would be minimal unless a decision is made to expand the level of activity under the Project.

criteria including community participation, the importance of creating greater awareness of natural resource management issues, the participation of women, reliance on local technical expertise, sustainability, replicability and several other areas of general concern.

There is broad agreement that the process to date has been difficult. At the same time, the coordinating PVOs indicated optimism that "the bugs have been worked out of the system" and that it will operate more effectively in the future. Particular concern focuses on the role and function of the Coordinating Committee and the utility of offshore technical review. Specifically:

- o Past coordinating Committee meetings are described as "endless", "repetitive" and "irrelevant". Because prospective grant recipients sit on this Committee there is concern that there may be some degree of competition among members for the limited resources available through the program. As noted elsewhere, attendance at Coordinating Committee meetings has been very poor.

- o There is a lack of clarity regarding the role of USAID. Although the Mission has only an advisory ex officio status on the Coordinating Committee, because of its importance and weight in overall management of the Project, it has effective veto power whenever it wishes to exercise that option.²⁵

- o Overseas technical review is generally felt to be not helpful and it has clearly been a source of significant irritation to some participants in the process. Concern has focused particularly on whether reviewers had adequate understanding of the physical and cultural characteristics of the country.

ASSESSMENT

The Evaluation Team developed the following impressions of sub-grant review procedures and the project selection criteria.

- o The review process has too many layers and too many veto points - - too many of the participants have the authority to say "no". Final approval in the U.S. after so much of the difficult spade work has been done locally appears to add a

²⁵ OAR/B disagrees with this assessment. OAR/B feels the role of the Mission is clearly delineated in the grant agreement. While this may be the case, the evaluators heard a persistent concern from Center personnel and from the coordinating PVOs that the nature and degree of Mission involvement in the review process was unpredictable.

further negative tone. The strong negative bias in the structure is bound to frustrate applicants. The process needs to be simplified and rationalized.

o It is not necessary to duplicate in-country technical review with a second U.S. technical review. As noted elsewhere in this evaluation, there is extensive in-country technical competence available on an ad hoc basis or through the membership of the Coordinating Committee. U.S. Technical review not only slows down the review and approval process but it can add an irritant that gets in the way of better communications between all participants to the Project. The realities of geographic and cultural distance make it almost inevitable that well intended critical comments will be misinterpreted. The competitive, academic peer review culture of a U.S. university is quite different from the participatory style of a PVO and it is understandable that the tone of a reviewer's comments could be misunderstood.

o Excessive emphasis on sophisticated technical project review can have a counterproductive distortion on project activity by inadvertently encouraging project designers to incorporate a more advanced form of technology than is wanted or needed at the community level.²⁶ A persistent theme in the interviews conducted by the Evaluation Team was that in most cases, local technical know how was not only sufficient but it was the level of technology most appropriate to dealing with the natural resource management problem. It was repeatedly stressed that village level issues in natural resource management are not technical but managerial, organizational and institutional in nature.²⁷

o With respect to the Coordinating Committee, the Evaluation Team had reservations with regard to its role, composition and function. As conceived, the Committee's role includes both policy oversight and project review. These are quite different

²⁶ The Center comments that sophisticated review was not the intent of the technical review process and that the process is not overly technical in nature. Aside from one instance of injudicious remarks from a reviewer, the comments have been "hands on" and derived from practical field level experience.

²⁷ The Center offers two comments. First, they note that the evaluators are not NRM specialists and "do not have sufficient expertise to make this judgement call." Second, they note that "...there is general agreement that much of the technology exists within Burkina. However, not all of it is being applied. The project planners felt that U.S. university participation could help to broaden the adoption of these existing technologies and encourage more comprehensive and integrated approaches."

sets of responsibilities, the first involving the strategic formulation of priorities and criteria, the second involving the application of those standards. While foundation boards may pass on grant applications, that action is normally supplemented by peer review recommendations prepared by technical experts. In addition, it is difficult to have a smoothly functioning project review process when the participants are directly affected positively or negatively by the outcome. Finally, it was apparent to the Evaluation Team that members of the Coordinating Committee had an unequal interest in the work of the Committee, as manifest by the poor attendance record of some members.

o The role of USAID in the review and approval process is ambiguous. The Mission's ex-officio advisory status implies a diminished back seat role. In reality, partly because all grants to date have exceeded the threshold but more importantly because USAID can elect to impose **effective** control when it wishes, the Mission's position on a grant application is critical. Uncertainty with regard to the Mission's position coupled with an understanding that position is pivotal has adversely affected the tone and content of interactions between committee members. This is not a criticism of the Mission or in any way a suggestion that the Mission has not attempted to adhere to the terms of the grant. It is a criticism of the structure of the review process.²⁸

C. Effectiveness of Liaison Office Role

FINDINGS

As originally envisioned, the Liaison Office was to have a minor support function as a communications link to the Center and as staff support to the Coordinating Committee. Its responsibilities were not detailed in the Definition of Roles of Partners prepared in conjunction with the Implementation Plan and it was not separately identified in the organizational chart that was included in the Project Proposal. In this relatively minor role, there was no significant conflict with the Center's preeminent role as Project manager.

As the Project has progressed, the importance of a strong liaison function has become increasingly apparent and the potential for confusion between the role of the Liaison office and the role of the Center has increased. This has been a problem more in theory than in reality since, as discussed elsewhere, there have been major problems in getting the Office operational. The replacement of the Liaison Officer has been put on hold pending completion of this evaluation and the Office itself is not yet fully equipped

²⁸ As noted elsewhere, OAR/B disagrees with this assessment.

with the facilities that it needs if it is to function effectively.

The Liaison Office has a number of existing and potential functions. At the current time, due to staffing and start-up constraints, it is performing only a few of these. A comprehensive list of responsibilities would include:

- o Secretariat support to the Coordinating Committee.
- o On-going evaluation of Project progress against purposes and objectives.
- o Working with applicants to conform to proposal guidelines and improve the quality of sub-grant proposals.
- o Locating local technical assistance in response to occasional needs for technical support in the context of project design and implementation.
- o The preparation of an in-country consultants data base to be combined with the U.S. version in order to respond to anticipated technical assistance requests.
- o Regular communications link with AID regarding Project progress.
- o Acting as or facilitating the creation of a documentation and information center - - a contemplated activity which has not yet begun.
- o Project monitoring and the collection and feedback of relevant lessons learned.

These are functions that need to be performed in any case but would be given considerable additional importance if a decision were made to move principal authority for management and decision making to the field.

ASSESSMENT

The increasing importance of the Liaison Office reflects:

- o The necessity of establishing close working relations with the Mission and the importance of regular contact between the two partners to establish a strong mutuality of purpose.
- o The shift in project emphasis from the Center to Burkina Faso as a consequence of the less than expected demand for off-shore technical assistance.
- o Growing awareness that the central challenge and opportunity for the Project is the strengthening of local institutions,

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local structures for collaboration and cooperation and local technical capacities to deal effectively with natural resource management issues.

o The increasingly important monitoring and oversight role that inevitably arises as sub-grants are approved and the Project moves into the implementation phase.

D. Communication Issues

1. With USAID

As suggested elsewhere in this Report, communications between the Center and USAID have been less than perfect. The Evaluation Team does not believe that either party is at "fault" in this respect since the difficulties have arisen in large part because of substantive and structural characteristics of the Project and a legitimate different perspective on Project purpose. However, the Team does feel that subsequent Project activity will be seriously hampered if a unifying consensus is not developed. It will be particularly important to establish a mutuality of purpose as a basis for the reprogramming of funds which the Evaluation Team believes should happen to bring Project activity into line with changed conditions and altered Project purposes.²⁹

In order to establish a mutuality of purpose, USAID and the Center will need to reach agreement in five areas:

o **Project Goal and Purpose.** The current goal emphasizes village natural resource management and the ability of U.S. universities to provide technical assistance. Purposes are similarly diverse. It will be important to re-prioritize these objectives and shed those which experience has indicated are no longer valid.

o **The role of U.S. universities.** The project contemplates a much more active role for U.S. universities than has proven to be the case. The Evaluation Team believe the structure and operation of the Project should be altered to reflect this.

o **The locus of policy and decision making authority.** In the view of the Evaluation Team, the current offshore orientation of Project management is not in line with Project priorities and hampers constructive communication between the Mission and

²⁹ OAR/B comments that "This statement is vague and attempts to appease both partners rather than stating issues and/or instances which in you view led to your assessment of communications difficulties." The evaluators feel that the Report makes clear that the overall management structure of the project gets in the way of effective communications.

the Center.

o **Whether adequate lessons have been learned to support a shift in emphasis.** USAID and the Center will need to decide whether the empirical evidence set forth in this evaluation warrants the shift in emphasis that is recommended.

o **Relative emphasis on Coordinating PVOs.** The Mission has voiced concern regarding the relative emphasis on the reliance on coordinating PVOs - - whether it is necessary to fund local NGOs through the local PVOs and whether these organizations should receive coordination grants as well as implementation grants. This is an issue that will need to be addressed if and to the extent that the grant budget is augmented.

o **The nature of a "pilot" project.** An ongoing issue between the Center and USAID has been whether the "pilot" nature of the Project permitted exploratory support for activities that might have a stimulative effect in generating valid requests for the types of activities that the Center envisioned would flow from PVO/University collaboration. Whether and precisely to what extent this is attempted in subsequent phases of the Project is a matter that needs to be addressed at this juncture.

2. With the PVO/NGO Community

In general the PVO community appears to be well informed about the Project and its goals and purposes. It is apparent that at its inception, the Project prompted considerable interest and enthusiasm which has waned as a consequence of the slow start up and delays in initiating activity.

Once Project implementation begins it will be important for the Liaison Office and/or the coordinating PVOs to put together simple information packets (practical technical information and project management tips, for example) for local NGOs and community groups. Toward the end of Project life it will be important to collect information about project successes and failures at the village level and to put this together in easily understood form for PVOs and NGOs that are functioning elsewhere in the country.

3. The University of Ouagadougou (UO)

It has been difficult for the Evaluation Team to assess the level and nature of the UO's interest in the Project. University attendance at Coordination Committee meetings has been poor. On the other hand, the Rector was well aware of the Project and expressed strong interest in it. As suggested elsewhere in the Report, PVOs and NGOs appear to have reasonably good working relationships with those individuals and departments in the University that have resources which they wish to access. In this regard, it is less

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important that the UO understand the Project than they have constructive working relationships with organizations who need their services.

UO involvement and understanding of project goals and of the role that University personnel might play in working on natural resource issues at the local level will, in the view of the Evaluation Team, be significantly enhanced by strengthening the role of the Liaison Office.

E. Administrative Procedures

1. Project reporting.

The Evaluation Team has not attempted a detailed audit of the reporting process. In general the Team felt that the periodic reports required under established AID procedures were timely, comprehensive, readable and useful for Project management purposes.

The Team carefully reviewed the Internal Review prepared by the Center in May of 1991. This document was intended to respond to several issues raised by the Mission and "show that the project has not fundamentally evolved differently from the original concept." The Review was exhaustive in detail and of considerable value to the Team in understanding the dynamics of the Project. While intended to bridge differences in perspective, the Internal Review had the opposite effect because of its defensive tone and because it was presented as a justification of previous decisions rather than as a response to legitimate concerns.

2. Data gathering procedures

The Project Paper included emphasis on documentation and dissemination and funds for this purpose were budgeted. This function was to include procedures, operations manuals and descriptive material that would promote a broad based understanding and enthusiasm of Project goals and activities. It was also envisioned that the technology transfer process from U.S. university to PVO/NGO and hence to the village level would be studied and documented.

The Team concluded that the level of activity under this function was appropriate to current Project status. From interviews the Team concluded that there was good in-country understanding of Project goals and procedures. As noted elsewhere, grant guidelines and criteria have been prepared and issued and a process for identifying and obtaining technical assistance has been established. Studies of university/PVO collaboration have not been conducted due to the limited level of activity in this area.

The Project Paper also called for establishment of a baseline data and monitoring system to measure impact of project grants on the

village participants and their social, economic and physical environment. It was subsequently determined that in 1988 Save had begun a sophisticated and comprehensive baseline data collection system in Sapone and a decision was made to rely on this source for analysis of impact in that zone. A comparable but less comprehensive system was used and will be further developed in Tougouri.

3. Fund Transfer Mechanism

The Project uses a standard letter of credit mechanism. Funds are transferred from the Treasury to the Center in North Carolina thence to the U.S. headquarters of grant recipients. Funds are then allocated from headquarters to the local PVO office pursuant to their internal budgeting process. Funds for the Liaison Office are allocated periodically and as needed to a local accounting firm.

While there were numerous complaints of delays and general frustration at the cumbersome nature of the process, the Evaluation Team felt the current system was working reasonably well given the basic management structure that has been established.

4. Budget, actual against planned and status of approved sub-grants.

Appendix B contains budgetary data that summarizes performance to date against expectations. In summary:

- o Of the \$ 1 million planned for sub-grants, a total of \$669 thousand has been reviewed and recommended for funding by the Coordinating Committee and approved by the Center. (Not all of these funds have been yet disbursed to grant recipients.)

- o Of this amount, a total of 32% has been granted to the two PVOs to coordinate activities in the two pilot zones, 35% has been granted to PVOs to implement their own activities in the pilot zones and the balance or 33% has been or will be granted through the two coordinating PVOs to indigenous PVOs to implement activities in the pilot zone.

- o An additional \$177 thousand of the sub-grant funds has been administratively set aside to cover the costs that would be associated with a 7 month life of project extension, should this be approved by USAID. If these amounts are included, 85% of the sub-grant funds have been either committed or reserved to date.

- o Of the \$270,000 set aside for technical assistance, a total of \$67,000 (including \$32,000 for a vehicle) or 25% has been committed to date, leaving an uncommitted balance of \$203,000 in this category.

o Of the \$98,000 for dissemination and documentation, a total of \$30,000 or 31% has been committed to date, leaving a balance of \$68,000.

o Support costs for the Burkina Faso Liaison office are \$38,000 to date against \$58,000 budgeted for this purpose leaving a balance of \$20,000.

o Finally, of the \$574,000 budgeted for the Center Project support and Project evaluation, a total of \$447,515 or 78% has been committed to date.

o To summarize, out of a \$2 million budget, a total of \$1,252 thousand or 62% of budget has been committed to date, 2/3 of the way through Project life.

Should the Mission and the Center engage in a mid-course reprogramming exercise designed to bring the budget into better conformance with some of the lessons that have been learned to date, it will be important to include consideration of resources from all components of the Project. Specifically, the following budgetary variables should be included in the reassessment:

o A grant by grant assessment, of grants made to date, of the amounts necessary to carry the funded activity through a logical activity life that realistically reflects field conditions. This assessment may indicate that an extension of more or less than seven months make sense in a particular instance.

o A re-estimate of amounts likely to be drawn from the technical assistance line item in view of experience to date and decisions regarding altered Project purposes that may occur following this evaluation.

o A re-estimate of amounts budgeted for documentation and dissemination.

o The remaining budgetary needs of the Liaison Office in light of the altered role and functions that Office may be asked to play, taking into account altered staffing needs both with respect to numbers and professional level.

o A similar review with respect to the Support functions provided by the Center, including additional support costs that may be associated with Project extension if that is warranted but deducting savings that may accrue from downsizing of the support activity in line with possible alteration in role and function.

VI. Conclusions

This Section is divided into three parts. The first deals with improving local capacity to deal with natural resource management issues, the second with the concept of PVO/NGO/University collaboration and the third with the structural and organizational aspects of the Project.

There are three important caveats:

In evaluating this Project, the evaluators placed considerable weight on the fact that it is a pilot activity designed to test various assumptions and approaches. From this perspective, both positive and negative outcomes can be of value in terms of lessons learned and for project redesign.

It is also important to point out that the conclusions in this Section and the recommendations that flow from those conclusions in Section VII are predicated on a steady state of Project activity and do not attempt to anticipate decisions with respect to continuation, termination or extension of Project life. Thus, for example, certain of the conclusions and recommendations dealing with organizational restructuring would be moot if a decision were made to terminate Project activity.

Finally, because of the modest level of Project activity to date, there has been insufficient experience to reach conclusive judgements with respect to some of the objectives of the pilot project. This is particularly true with regard to assessing the actual impact of village level activity and, to a lesser extent, with respect to measuring latent demand for university technical assistance.

A. Improving the Capacity of Local Institutions to Plan, Manage and Monitor Natural Resource Activities.

o The Project has a good prospect for being successful with respect to achievement of its primary goal of improving the capacity of individuals and local groups at the village level to deal with natural resource management issues in the pilot zones.

o The Project's emphasis on using existing approaches and simple, well tested technologies is appropriate in the context of the problems faced and the skills, resources and limitations available to deal with those problems.

o The Project's reliance on local decision making and village level solutions to local issues is similarly appropriate and consonant with established approaches to dealing with natural resource management issues.

o The structures and relationships that have and will be established between PVOs, NGOs and local community groups appear to provide an effective mechanism for delivering training and technical assistance at the local level.

o The system of using a coordinating PVO in a pilot zone linked with cooperating local NGOs who receive sub-grants through the PVO is a workable mechanism.

o There is no inherent contradiction in giving a U.S. PVO both a coordinating grant and an implementation grant in the same zone provided there is a clear strategic rationale that relates this decision to Project purposes. (The disadvantage of this approach is that it reduces the level of funds that could be otherwise available to local organizations; the advantage is that it is an efficient way to get activity going in the pilot zones.)³⁰

o The technical competence for dealing with the types of natural resource management issues faced at the village level appears, by and large, to be available in-country.

o The sub-grants authorized under the grant appear to be well conceived in terms of strategy, scope and target group. They appear to utilize an appropriate level of technology from a variety of local and in-country resources.

o The PVOs and the NGOs that are involved in this Project appear to be able to access appropriate technical help and training assistance from local sources when they need it.

B. The ability of U.S. Universities to supply technical and training assistance to PVO/NGO sponsored projects and to work collaboratively together in planning, implementing and evaluating village level natural resource management activities.

o The universities associated with the Center for PVO/University Collaboration appear to have the skills and capabilities to provide training and technical assistance in the area of natural resource management.

o There is no evidence from this Study that university personnel lack the capacity to work collaboratively with village organizations in the planning and implementing of

³⁰ OAR/B disagrees with this assessment. The Mission feels that giving both a coordinating and implementing grant "...reduces funds for activities and is not an efficient nor effective way to get definable activities started."

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natural resource management activities.

o However, the Project has **not to date** demonstrated an effective demand for U.S. university technical assistance or for training from U.S. university trainers.

o Whether there is a **latent** demand for U.S. university expertise is difficult to determine with confidence because of the short duration of project activity and because there has been no attempt to stimulate that demand or "market" U.S. university services.

o The empirical evidence suggests that the demand for assistance from U.S. universities is considerably less than assumed when the Project was designed. There is broad consensus that local technical capacity is sufficient to deal with the range of technical issues faced at the village level. There is supporting evidence that local institutions are better able to define their needs and marshall their technical capacities than are outside entities. And finally, there is some indication of cultural resistance to reliance on outsiders for technical solutions to local problems.

o The slim evidence available to date suggests that local NGOs and community groups have effective access to national level institutions with the capacity to provide technical aid in the instances when that is necessary.

o In addition, the PVOs and NGOs that have been involved in this Project have not shown the degree of interest assumed at the time of Project design in expanding their knowledge of other, more innovative types of natural resource management interventions.

C. The effectiveness of the Project's organizational structure and operating procedures.

o The overall Project structure is excessively cumbersome and complex for a pilot activity. It needs to be simplified and rationalized if it is to work efficiently and effectively.

o The managerial fulcrum of the Project is too heavily oriented toward the Center and inadequately reflects local needs, local problems and local solutions. The organizational structure needs to shift significantly toward Burkina Faso and, within country, toward the pilot test zones.

o As a corollary, the role of the Liaison Office needs to be strengthened with unequivocal responsibility for overall Project management including policy, strategic planning and

achievement of Project goals.³¹

o The role of the Center should be correspondingly adjusted. The Center should function primarily in a support capacity with functions to include contracting for sub-grants, funds management, payroll, occasional technical backstopping and communications with interested university participants.

o As currently conceived and functioning, the Burkina Faso Coordinating Committee is not effective. It should be either disbanded or restructured. If a new entity is established in its place, its role and function must be sharply defined and its composition must be directly related to that role.³²

o Technical review of sub-grant proposals by the university Technical Support Committee has not proven effective and is a potential irritant to constructive relationships with local PVOs and NGOs.

o Sub-grant criteria and application guidelines appear to be effective. Significant alteration is not required.

o Considerable efforts are needed to forge better communication between Project managers at all levels. It is particularly important to forge a consensus on Project priorities and strategy.

VII. Recommendations

The Evaluation Team recommends a series of structural and organizational changes to bring Project Management into conformance with country conditions and experience gained to date. Specifically:

o The Liaison Office should be reconstituted as the Project Management Office. Its functions should be

³¹. An alternative, as previously discussed, is elimination of the Liaison Office and vesting of project management responsibilities in the two coordinating PVOs who would independently work with local NGOs in the preparation and processing of grant applications. The principal disadvantage of this approach, as discussed in the body of the paper, is that it would reduce the overall coherence and strategic integration of the Project. It would be particularly problematic if a decision were made to expand the pilot into other zones.

³². This conclusion and subsequent recommendations related to the Coordinating Committee assume a continued flow of sub-grant applications and the need to establish a review structure to vet these applications.

redefined to include all responsibilities and authorities pertinent to that role including: strategic planning, directing, managing, monitoring, liaison and evaluation. Specifically, the Project Management Office should have authority to approve sub-grant proposals that have gone through an in-country peer review process and determine the need for and process requests for technical assistance to the Center in those occasional instances when a request for U.S. university assistance arises. The Project Management Office should be the central point of communications on all aspects of the Project and the focal point of frequent contact with the Mission and with the Government of Burkina Faso. It should have or have access to the technical competence needed to work with grant applicants to insure that proposals are of a high quality together with adequate financial resources to employ this help when needed. The Office should be staffed by a Director and an Assistant Director and should have a full time secretary and the full panoply of communications and transportation equipment necessary to function effectively. A document setting forth the new role and function of the Office should be prepared and broadly disseminated and the job descriptions for Director and Assistant Director should be redrafted. An aggressive and accelerated effort should be made to staff the Office and to get it "up and running" in its new role as quickly as possible.³³

o The role of the Center with respect to this Project should be recast so that it becomes primarily an administrative and support entity. Specific Center functions should include: funds management and payroll; financial reporting; accessing technical assistance from university affiliates upon request; and the handling of all logistical matters associated with provision of U.S. technical assistance. The Center would also keep in-country project managers informed of Center activities that could be of potential interest.³⁴

³³. It should be again emphasized that this recommendation is predicated on the assumption that there is ongoing Project activity of a sufficient magnitude to warrant some type of managerial entity that will provide overall guidance and control.

³⁴ The Center comments that this list should include legal and fiscal responsibility for all sub-grant contracting activities. The evaluators did not include this in the list of functions because it is not clear whether or not the revised role of the Center is consistent with the University of Western North Carolina's conception of its mandated legal and fiscal duties. If the Project structure is recast as recommended in this evaluation, the Center

o Technical review of sub-grant applications at the Center should be terminated.³⁵

o The in-country Coordinating Committee should be disbanded and its primary functions should be allocated to new or existing entities.³⁶ Specifically:

- The policy making and Project oversight function would be housed in the Project Management Office;
- The Sub-grant technical review function should be assumed by ad hoc peer review panels composed of individuals with technical and managerial expertise and experience who have a good "feel" for PVO/NGO operations at the local level in Burkina Faso. Standard peer review procedures and protocols should be drafted and adopted.
- The networking and information and dissemination function would be assumed by the Project Management Office.

o There should be increased regular contact and collaboration with USAID particularly during this period of structural redefinition. The role of the Mission with respect to sub-grant review should be clarified by explicitly stating that the Mission has authority to review proposals and to reject them if it concludes they are inadequate. The Mission Project Officer should be encouraged to periodically visit Project sites and to work closely with the Director of the Project Management Office.

will have to work with the University to design mechanisms that ensure legal and fiscal oversight consistent with the philosophy of decentralized management.

³⁵. However, the Center may wish to maintain an informal distribution process designed to encourage professional contacts between university staff and PVOs and NGOs functioning in Burkina Faso.

³⁶. The Evaluation Team feels that consideration could be give to establishing a Project Advisory Committee composed of those organizations directly involved in project implementation. Whether or not an entity of this sort is needed to improve communications at this stage in Project life is unclear. It is a judgement that should be made by the Project Director.

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The Mission and the Center should, as quickly as possible, engage in a comprehensive Project budget review and a related re-programming of funds available under the Project. The steps and the principles that should guide that exercise are as follows:

- o There should be a systematic review of Project goals and priorities in light of experience gained to date. A restatement of goals and priorities should be prepared in the form of a memorandum of understanding between the cooperating partners. That document should state whether or not a further test of U.S. technical assistance should be undertaken.
- o Funding needs for technical assistance, documentation and dissemination, Center support and Liaison Office support should be re-estimated based on the new statement of priorities and on the new organizational structure recommended above. The levels projected for technical assistance should be reduced based on experience to date. If there is explicit agreement between the Center and the Mission, a modest amount should be retained to test the utility of technical assistance from U.S. universities. The bulk of technical assistance and training funds should be for local procurement. To the extent that revised needs for technical assistance and support are below budgeted amounts, funds should be made available for commitment for sub-grants.
- o Funding needs for **current** sub-grant proposals should be reviewed with respect to a **logical** life of project. Decisions with respect to life of project need should be made on a case by case basis.
- o Funding needs for **prospective** sub-grant projects should be considered to the extent that funds are available.
- o Finally, because of the pilot nature of this project, the modest level of activity to date and the potential merit of the PVO/NGO structure that has been put in place, the Evaluation Team recommends that the Mission conduct a second evaluation toward the end of Project life or when sub-grant activity is well established. That effort should look at impact at the local level and examine the relative cost and efficiency of programming funds from the national to village level through a structure involving coordinating PVOs and cooperating NGOs.

Appendix B: Budgetary Profile

CATEGORY	BUDGET : YR I AND II	PROJECTED EXPENSES THROUGH JAN. 92	BALANCE
I. Pilot Project Grants *	800,000.00	218,268.00	581,732.00
II. Technical Assist- ance/Training	175,000.00	67,262.25	107,737.75
III. Documentation/ Info. Dissemination	73,974.00	30,381.51	43,592.49
IV. Project Support Burkina Faso	38,000.00	38,000.00	0.00
V. Project Support PVO/Univ. Center	377,026.00	403,754.08	-26,728.08
VI. Monitoring/Eval- uation/Audit	36,000.00	43,760.95	-7,760.95

* Total of \$576,440 has been obligated through Sept. 1992; another \$177,102 is tentatively obligated contingent upon a project extension. See Page 2 for breakdown of Sub-grants expenditures.

Sub-Grant Obligations	Through Sept. 1992		Oct. 1992 - April 1993		TOTAL	
	INDIRECT	TOTAL (I+D)	INDIRECT	TOTAL (I+D)	INDIRECT	TOTAL (I+D)
Coordination Sub-Grants						
Save the Children-Saponé	7,258	79,842	2,287	25,161	9,545	105,003
Africare-Tougouri	33,926	131,872	12,398	48,002	46,324	179,874
Subtotal	41,184	211,714	14,685	73,163	55,869	284,877
Sub-Grants Directly Implemented by FVOs						
Save Market Gardening	7,181	78,998	1,557	17,130	8,738	96,128
Africare Tougouri NRM	33,751	156,540	10,823	49,138	44,574	205,678
Subtotal	40,932	235,538	12,380	66,268	53,312	301,806
Sub-Grants Implemented by NGOs						
AVLP (Save)	14,017	129,188	3,424	37,671	17,441	166,859
Total Obligated to Date	96,133	576,440	30,489	177,102	126,622	753,542
Proposed NGO Sub-Grants						
ABAC * (Africare)	16,077	92,633	9,431	14,323	25,508	106,956
ADDS† (Save)	7,563	58,192	1,302	14,323	8,865	72,515
SDS † (Save)	8,166	64,824			8,166	64,824
ADRK † (Africare)					0	0
Total Remaining Requests	31,806	215,649	10,733	28,646	42,539	244,295
Total Obligated + Total Requested	127,939	792,089	41,222	205,748	169,161	997,837

* Approved by the Coordination Committee

† Undergoing technical review



UNITED STATES OF AMERICA



AGENCY FOR INTERNATIONAL DEVELOPMENT

REGIONAL ECONOMIC DEVELOPMENT SERVICES OFFICE, WEST AND CENTRAL AFRICA

UNITED STATES ADDRESS
ABIDJAN (REDSO)
DEPARTMENT OF STATE
WASHINGTON, D. C. 20520

PD-336-371

INTERNATIONAL ADDRESS
REDSO/WCA
C/O AMERICAN EMBASSY
01 B P 1712 ABIDJAN 01
IVORY COAST

September 27, 1989

Ms. Nancy L. Blanks
Center for PVO/University Collaboration
Bird Building
Western Carolina University
Cullowhee, N.C. 28723

Subject: Cooperative Agreement No. 686-0276-A-00-9047-00

Dear Ms. Blanks:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A. I. D.") hereby enters into a Cooperative Agreement with the Center for PVO/University Collaboration in Development (hereinafter referred to as "The Center" or "Recipient") for the sum of \$2,000,000 of which \$700,000 is hereby obligated and made available for expenditure to provide support to undertake a pilot natural resource management activity in Burkina Faso, as fully described in Attachment 1 of this Agreement, entitled "Schedule," and Attachment 2, entitled "Program Description."

This Cooperative Agreement is effective and obligation is made as of the date of this letter, and shall apply to commitments made by the recipient in furtherance of project objectives during the period beginning September 30, 1989 and ending not later than September 30, 1992.

This Cooperative Agreement is made to the recipient on condition that the funds will be administered in accordance with the terms and conditions as set forth in this Cover Letter, Attachment 1 entitled "Schedule", Attachment 2 entitled "Program Description", and Attachment 3 entitled "Standard Provisions and Optional Standard Provisions for U.S., Non-governmental Grantees."

Please note that attached to this Cooperative Agreement, in the Standard Provisions, is the certification for Requirements of the Drug-Free Workplace Act of 1988 - Grants. These requirements and certifications must be included in grants/cooperative agreements signed after March 18, 1989. By signing the agreement you are providing the certification set out in therein.

Please sign the original and seven (7) copies of this letter to acknowledge your acceptance of the Cooperative Agreement, and return the original and six (6) copies to the A.I.D. Agreement Officer indicated below. Additionally, please complete and return two (2) copies of the attached, "Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs."

Sincerely,



Gerald C. Render
Agreement Officer

Attachments:

1. Schedule
2. Program Description
3. Mandatory Standard Provisions, and
Optional Standard Provisions for U.S., Non-governmental
Grantees

ACKNOWLEDGED:

Center for PVO/University Collaboration
in Development

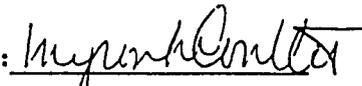
Western Carolina University

By



Executive Secretary

By



Title :

PVO/University Center

Title :

Chancellor

Date :

Oct 17, 1989

Date :

10 20 89

FISCAL DATA

Appropriation	:	72-1191014
Budget Plan Code	:	GSSA-89-21686-NG13
Allowance	:	914-50-686-00-69-91
PIO/T No.	:	686-0276-90012
Project No.	:	686-0276
Total Estimated Amount:	:	\$2,000,000
Total Obligated Amount:	:	\$ 700,000
DUNS Number:	:	06-630-0039
IRS Employer Identification Number:	:	56600-1440
Letter of Credit No.	:	72-00-1469
Paying Office	:	PFM/FM/CMP/LC
Technical Office	:	OAR/Burkina Faso



SCHEDULE

I. AUTHORITY, PURPOSE AND PROGRAM DESCRIPTION

This Cooperative Agreement is entered into pursuant to the Foreign Assistance Act of 1961, as amended, and the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224). The purpose of this Agreement is to provide support to undertake a pilot natural resource management (NRM) activity in Burkina Faso. This program is outlined in Attachment 2 of this Agreement (entitled "Program Description") and more fully described in the recipient's proposal which is hereby incorporated into and made a part of this Agreement.

II. FUNDS OBLIGATED, PAYMENT, AND ESTIMATED COSTS

A. The total estimated amount of this Agreement for the period shown in Article III below is \$2,000,000, as shown in the Financial Plan found in Article IV of this Schedule.

B. A.I.D. hereby obligates the amount of \$700,000 for program expenditures during the period shown in Article III below.

C. Payment shall be made to the recipient in accordance with procedures set forth in the Optional Standard Provisions of this Agreement, entitled "Payment - Letter of Credit", as shown in Attachment 4.

D. Additional funds up to the total amount of the Agreement shown in II.A. above may be obligated by A.I.D. subject to the availability of funds, and to the requirements of the Mandatory Standard Provisions of the Cooperative Agreement, entitled "Revision of Agreement Budget."

E. It is recognized that Western Carolina University, co-acknowledger of this Agreement, is the fiscal agent of the Center for PVO/University Collaboration in Development, the Recipient.

F. The recipient and the fiscal agent are responsible for ensuring that all funds advanced or reimbursed to sub-awardees or sub-recipients are accounted for and represent allowable, allocable and reasonable costs in accordance with the terms and conditions of this agreement. Any such funds that are either advanced or reimbursed to sub-awardees or sub-recipients under this agreement and do not meet the test for being allowable, allocable and reasonable are not eligible for financing under this agreement.

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III. PERIOD OF AGREEMENT

A. The effective date of this Cooperative Agreement is 30 September 1989. The estimated completion date is 30 September 1992.

B. Funds obligated hereunder are available for program expenditures for the estimated period beginning 30 September, 1989 and ending 30 September 1990, as shown in the Agreement budget below.

IV. FINANCIAL PLAN

The following is the Agreement budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with Standard Provision of the Agreement, entitled "Revision of Agreement Budget."

Illustrative Budget
(09/30/89)-(09/30/92)

Category	Year 1 09/30/89- 09/30/90	Year 2 10/01/90- 09/30/91	Year 3 10/01/91- 09/30/92	TOTAL
1. Pilot Project Grants	\$350,000	\$450,000	\$200,000	\$1,000,000
2. Technical Assistance/ Training	85,000	90,000	95,000	270,000
3. Documentation/Info. Dissemination	49,774	24,200	24,500	98,474
4. Project Support Burkina Faso	18,000	20,000	20,000	58,000
5. Project Support PVO/Univ. Ctr.	193,226	183,800	151,500	528,526
6. Monitoring/ Evaluation/Audit	<u>\$ 4,000</u>	<u>\$ 32,000</u>	<u>\$ 9,000</u>	<u>\$ 45,000</u>
Totals	\$700,000	\$800,000	\$500,000	\$2,000,000

V. REPORTS AND EVALUATION**A. Project Performance**

1. The Center shall monitor the project performance under the Agreement and ensure that time schedules are being met, project implementation actions by time period are being accomplished and other performance goals are being achieved. To this end, The Center shall submit a performance report (technical report) on a quarterly basis within 45 days after close of period that presents the following information for each project activity.

a. A comparison of actual accomplishments with the implementation goals established for the period.

b. Reasons why established implementation goals were not met.

c. Other pertinent information related to project monitoring indicators and implementation progress.

2. Annual Reports as described in the Proposal.

3. Final Report: The Center shall submit a final report detailing the activities of the project. This report shall be formatted similar to and contain similar information as set forth in paragraph 1. above, and shall include a section on lessons learned and a comprehensive roster of NRM consultants.

B. Financial Reporting

This paragraph describes uniform reporting procedures for recipients to: summarize expenditures made and A.I.D. funds unexpended, report the status of A.I.D. cash advanced, request advances and reimbursement when the letter of credit method is not used; and promulgates standard forms incident thereto.

(1) Financial Status Report

(a) The recipient shall use the standardized Financial Status Report, SF 269, to report the status of funds for all nonconstruction programs.

(b) The report shall be on an accrual basis. If the recipient's accounting records are not normally kept on the accrual basis, the recipient shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand.

(c) The report shall be required quarterly only. A final report shall be required at the completion of the Cooperative Agreement.

(2) Federal Cash Transactions Report

(a) The recipient shall submit a Federal Cash Transactions Report and its continuation form (SF 272 and 272A) for all funds advanced to the recipient through either a letter of credit or periodic Treasury check. A.I.D. will use this report to monitor cash advanced to the recipient and to obtain disbursement information for the Agreement from the recipient.

(b) The recipient shall forecast Federal cash requirements in the "Remarks" section of the report.

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(c) The recipient shall report in the "Remarks" section the amount of cash advances in excess of three days' requirements in the hands of subrecipients and the amount of cash advances in excess of 30 days' requirements in the hands of non-U.S. subrecipients. The recipient shall provide short narrative explanations of actions taken by the recipient to reduce the excess balances.

(d) Recipients shall submit not more than an original and one copy of the Federal Cash Transactions Report within 15 working days following the end of each quarter.

(3) Request for Advance or Reimbursement

(a) The Request for Advance or Reimbursement, SF 270, shall be a standardized form for all nonconstruction programs when letter of credit or periodic treasury check advance methods are not used.

(b) Recipients are authorized to submit requests for advances and reimbursement at least monthly when letters of credit and periodic Treasury check advances are not used. Recipients are not required to submit more than the original and two copies of the request for Advance or Reimbursement.

(4) The recipient shall submit copies of all documents sent to PFM/FM/CMP/LC, AID/Washington, 20523 to:

Controller
OAR/Burkina Faso &
Dept of State
Washington, DC 20521-2440

Project Officer
OAR/Burkina Faso
Dept of State
Washington, DC 20521-
2440

VI. NEGOTIATED OVERHEAD RATES

Pursuant to Clause No. 13 entitled, "Negotiated Indirect Cost Rates - Provisional," of the Optional Standard Provisions of this Agreement, an indirect cost rate or rates shall be established for each of the recipient's accounting periods which apply to this Agreement. Pending establishment of revised provisional or final indirect cost rates for each of the recipient's accounting periods which apply to this Agreement, provisional payments on account of allowable indirect costs shall be made on the basis of the following negotiated provisional rate(s) applied to the base which is (are) set forth below:

<u>Type</u>	<u>Rate</u>	<u>Period</u>	<u>Base</u>
<u>Overhead</u>	<u>54.9%</u>	Award through Completion	Salaries

VII SUBSTANTIAL INVOLVEMENT UNDERSTANDING

Insofar as A.I.D. would like to maintain substantial involvement in the implementation of this project, the Office of the A.I.D. Representative, Burkina Faso (OAR/BF) has selected to undertake this activity using a cooperative agreement rather than a grant. The nature of this substantial involvement is provided below:

A. The Center will submit to OAR within thirty days of acceptance of the Cooperative Agreement, in form and substance acceptable to the OAR:

- (1) an agreement with the Government of Burkina Faso (GOBF) providing a legal basis for operations in Burkina Faso and setting forth the financial and other resources which the GOBF will commit to the project;
- (2) an overall project implementation plan setting forth operational procedures and criteria consistent with the program description above, and project approval criteria consistent with those in the unsolicited proposal;
- (3) evidence of agreement to the criteria by all project partners;
- (4) a work plan for the first year of project operations. The second- and third-year work plans, and any significant, substantive change in any yearly work plan, will also be submitted to USAID for approval.

B. The Center will submit to OAR for its approval sub-grants involving \$75,000 or more of A.I.D. funding for the sub-grant itself and for related technical assistance and in-country training. The submission should consist of the PVO's or NGO's proposal as approved by the project partners. While the submission need not contain the detailed work plan for the consultants and technical assistance work, it should contain an outline thereof indicating the level and cost of technical support required. OAR will advise the Center of its decision as rapidly as possible. If no formal OAR comment or decision is rendered within 30 days, the Center may proceed with the sub-grant in accordance with the "Sub-grant procedures" above.

C. A minimum of 50% of A.I.D. project funds, as budgeted, will be devoted to pilot sub-grants, exclusive of technical assistance, training, documentation, and other support functions. The Center will promptly advise OAR in the event the 50 percent level is not likely to be achieved in a given year, and seek approval for a revised funding schedule that will ensure the desired balance over the course of the project.

D. OAR will provide an observer to attend meetings of the Burkina Faso Advisory Council. This will allow OAR to be aware in timely fashion of all planned activities, including those under the \$75,000 threshold, and to apprise Council members of its views and concerns.

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E. The Center will be responsible for ensuring that project activities are cleared pursuant to A.I.D. environmental regulations, 22 CFR Part 216, cited in AID Handbook 3, Appendix 2D. These regulations require an initial environmental examination and A.I.D. approval thereof on each activity unless a categorical exclusion has been obtained in advance for certain classes of activity.

F. An external evaluation and audit will be performed at the end of the second year by a contractor or contractors mutually acceptable to the Center and OAR/Burkina.

VIII. SPECIAL PROVISIONS

A. Title to and Use of Property

Standards provisions related to title to and use of property are included in Attachment 3, Optional Standard Provisions: "Title to and Use of Property (Grantee Title)" (November 1985).

B. Authorized Geographic Code For Procurement

The recipient shall procure goods and services financed by this Agreement in accordance with Attachment 4, Optional Standard Provisions: "Procurement of Goods and Services" (November 1985) and "A.I.D. Eligibility Rules for Goods and Services" (November 1985). All goods and services shall have their source origin and nationality only in "Special Free World Countries" (A.I.D. Geographic Code 935), except as specifically approved by the A.I.D. Agreement Officer or as A.I.D. may otherwise agree in writing.

C. Relationship and Responsibilities

The recipient will be responsible to the A.I.D. Representative Burkina Faso, or his/her designee.

IX. STANDARD PROVISIONS

A. Mandatory Standard Provisions

The Standard Provisions of this Agreement are those attached as Attachment 3 - Standard Provisions.

B. Optional Standard Provisions

The following Optional Standard Provisions in Attachment 3 are hereby deleted as being inapplicable to this Agreement:

- a) 2. Payment - Periodic Advance
- b) 3. Payment - Cost Reimbursement
- c) 12. Negotiated Indirect Cost Rates - Predetermined
- d) 16. Voluntary Population Planning
- e) 17. Protection of the Individual as a Research Subject
- f) 18. Care of Laboratory Animals
- g) 19. Government Furnished Excess Personal Property
- h) 21. Title to and Care of Property (U.S. Government Title)
- i) 22. Title to and Care of Property (Cooperating Country Title)

End of ATTACHMENT 1

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PROGRAM DESCRIPTION

This project addresses problems of overstress of the environment, leading to long-term ecosystem damage that puts the future of the country at risk. These problems include: an inadequate water supply for food crops; poor quality of soils; overgrazing; range fires; the need for enlightened reforestation, woodlot management and agro-forestry programs; insufficient technology transfer to empower village residents; and lack of financial and technical support for village-based activities to address these concerns. Moreover, in-country institutions lack a history of providing extension at the village level. As a consequence, local technical expertise is not being applied where most needed.

The project goal is to improve the capacity of local people and institutions in Burkina Faso to plan, manage and monitor natural resource activities in order to reverse the trend toward long-term ecosystem damage.

The goal of the three-year pilot phase is to:

- explore and document various village approaches to NRM so that, by the end of the project, lessons learned will point the way for future village efforts in this field;
- explore the ability of selected U.S. universities and resource institutions of Burkina Faso to supply technical and training assistance to the PVO/NGO-sponsored village-level projects; and
- demonstrate the ability of PVO/NGO partners to work collaboratively with these universities and others in planning, implementing, and evaluating village-level NRM activities.

The purposes of the pilot project are to

- establish village-level NRM projects in selected areas of Burkina Faso;
- explore various methods of village involvement;
- strengthen the ability of local institutions to meet the needs of development organizations that are conducting NRM projects;
- develop a system for providing appropriate technical consultations and training sessions by U.S. university consultants, in partnership with consultants from Burkina Faso, to selected U.S. PVOs and local NGOs that are conducting NRM activities in Burkina Faso;

- document the lessons learned;
- establish a roster of NRM consultants; and
- establish criteria for success and the context in which sub-projects are executed.

Implementation of this project will thus involve the cooperation of local villages; locally-based PVOs (U.S. and Burkinabe); Burkinabe government agencies, the University of Ouagadougou and technical schools; and U.S. universities and PVOs associated with the Center. The interaction of these project partners is described below in the context of the responsibilities of key participants in the project process, and of the sub-grant procedures they are to follow:

The Center will coordinate the effort from its headquarters at Western Carolina University in Cullowhee, NC, in conjunction with a Project Liaison Officer in Ouagadougou to be staffed and largely financed by the GOBF. The Center will hold ultimate implementation responsibility for the project, providing for: compliance with A.I.D. regulations and with stipulations cited in Attachment 1, Section VI, entitled "Substantive A.I.D. Involvement"; final approval among project partners of all sub-grants per the procedures below; fiscal management of all A.I.D. project funds transferred to its account; communications between and among the various participants; problem solving; reporting to funders; monitoring and evaluation; information and documentation; orientation to consultants; organizing and attending U.S. Advisory Council meetings; oversight of the delivery of training and technical assistance; and development of mechanisms for replicating this project in other areas of Burkina Faso and other Sahelian countries.

The Project Liaison Officer in Burkina Faso will keep the Center apprised of all project activities in the country; serve as a communications liaison point between the Burkinabe and U.S. entities involved; maintain contact with all project participants, the Office of the A.I.D. Representative (OAR), GOBF agencies concerned, and others as deemed necessary; staff and organize Burkina Advisory Council meetings and report on them to the Center; coordinate the schedules and logistic support of visiting Center and U.S. technical personnel in accordance with the section on "Sub-grant procedures" below; closely monitor training and technical assistance visits; collect evaluation reports of these activities; prepare reports on the project; keep records and take pictures of project development; and fulfill other duties as required.

The participating PVO or NGO in Burkina Faso, using their regular operational methods and organizational relationships, will act as designers, catalysts, supporters, and implementers of in-country NRM projects. See also "Sub-grant procedures" below.

The Burkina Faso Advisory Council will be comprised of concerned GOBF agencies, the University of Ouagadougou, and participating U.S. PVOs in Burkina Faso. The U.S. Advisory Council is composed of participating U.S. universities and the headquarters of the PVOs in Burkina Faso. The two councils will approve sub-grants in accordance with the "Sub-grant procedures" below; receive copies of all progress and monitoring reports; co-supervise internal evaluations; and consider and approve any adjustments to the project based on the evaluations.

The participating U.S. universities and Burkinabe institutions will supply technical personnel and provide other support as agreed (a) in basic memoranda of understanding, and (b) in sub-grant work plans to be coordinated with the sub-grantee, the Center and the Project Liaison Officer.

Sub-grant procedures: Sub-grants will be initiated by U.S. PVOs and/or local NGOs. With village participation, they will design and submit sub-grant proposals to the Burkina Faso Advisory Council for consideration under project guidelines. Each proposal will need to follow a format covering such items as need, goal, objectives, budget showing cash or in-kind contributions of villagers and PVO/NGO as well as needed external resources, descriptions and cost estimates of technical and training assistance required from within Burkina Faso and from U.S. universities, relation to and coordination with other activities (e.g., the World Bank Village Land Management project), and a draft work plan for up to three years.

A sub-grant will require approval by (1) the Burkina Advisory Council, (2) the U.S. Advisory Council, (3) the Center, which bears final responsibility to A.I.D. for the project, and (4) the OAR, in accordance with the guidelines in Attachment 1, Section VI.

A pre-condition for sub-grant implementation will be agreement between the PVO/NGO, the Center, and the Project Liaison Officer on a work plan that includes a schedule and a logistic support plan for local and U.S. consultant visits. This will form the basis for coordinated implementation among the three parties. Ideally, the work plan should be a part of the proposal but it may be prepared after the sub-grant proposal is reviewed and approved. In this case the proposal must contain an outline of the technical and consultancy services to be provided including a summary of the type and cost of the technical support services. The role of the Project Liaison Officer will be crucial in this regard. He/she will coordinate the schedules of visiting Center and U.S. technical personnel with local technicians and other contacts; ensure necessary logistical support for the visitors from the resources either of his/her own office, local PVOs, or other sources, as specified in the plan; and ensure that, prior to Center authorization of a given consultation trip from the U.S. to Burkina Faso, the local clearance procedures called for in the plan have been followed.

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EXHIBIT 1

**Pilot Village-Level Natural Resources Management Activity
Cooperative Agreement No. 686-0276-A-00-9047-00
Mid-Term Evaluation**

SCOPE OF WORK

ARTICLE I - BACKGROUND

A. Organizational Description

The Center for PVO/University Collaboration in Development (PVO/University Center) is a unique organization dedicated to facilitating collaboration between and among universities and private voluntary organizations. Currently, the membership is comprised of 17 PVOs and 17 universities. At the heart of the concept of collaboration is the premise that working together as full partners, the two communities--PVOs and universities--can achieve more than either could alone. Thus both communities are involved from the start in the design and implementation of collaborative projects. The PVO/University Center serves as a catalyst, facilitator, organizer of resources, communications link, overall project administrator, and provides an institutional framework for the collaborative process.

B. Project Description (As distilled from the Cooperative Agreement)

The Pilot Village-Level Natural Resources Management Activity (PVLNRMA) is a three-year AID-funded pilot project to help develop and test various natural resource management strategies and interventions at the village level. Based on local initiatives, the PVOs, Burkina NGOs, and village communities and groups will develop and implement natural resource management activities. A key project outcome is to strengthen the capacity of PVOs, Burkina NGOs, and Burkina government agencies to help them improve their management of land, water, forests and pastures, both to protect the environment and ensure sustainable production systems.

The goals and purposes of the Pilot Village-Level Natural Resources Management Activity as stated in the Cooperative Agreement are:

1. Project Goal

The [overall] project goal is to improve the capacity of local people and institutions in Burkina Faso to plan, manage and monitor natural resource activities in order to reverse the trend toward long-term ecosystem damage.

The goal of the the three-year pilot phase is to:

- explore and document various village approaches to natural resource management (NRM) so that, by the end of the project, lessons learned will point the way for future village efforts in this field;

- explore the ability of selected U.S. universities and resource institutions of Burkina Faso to supply technical and training assistance to the PVO/NGO-sponsored village-level projects; and
- demonstrate the ability of PVO/NGO partners to work collaboratively with these universities and others in planning, implementing, and evaluating village-level NRM activities.

2. Project Purposes

The purposes of the pilot project are to:

- establish village-level NRM projects in selected areas of Burkina Faso;
- explore various methods of village involvement;
- strengthen the ability of local institutions to meet the needs of development organizations that are conducting NRM projects;
- develop a system for providing appropriate technical consultations and training sessions by U.S. university consultants, in partnership with consultants from Burkina Faso, to selected U.S. PVOs and local NGOs that are conducting NRM activities in Burkina Faso;
- document the lessons learned;
- establish a roster of NRM consultants; and
- establish criteria for success and the context in which [successful] sub-projects are executed.

ARTICLE II - OBJECTIVE OF THE EVALUATION

The PVLNRMA was an unsolicited proposal which sought to develop new and innovative methods to improve the capacity of end-users themselves to plan, implement, and monitor natural resource management activities. Its innovation lies in working with local organizations and groups indirectly through "coordinating PVOs," twinning U.S. and local technical resources; and integrating improving natural resource and sustainable production systems in ways that yield both short and long term benefits to the immediate environmental managers--the villagers. Hence, the PVLNRMA is designated as a "pilot" both in title and in concept.

The major objectives of the mid-term evaluation are:

- (1) to assess project performance under the cooperative agreement and ensure that time schedules are being met, project implementation actions by time period are being accomplished, and other performance goals are being achieved. The evaluators should compare actual

accomplishments with the implementation goals and report any reason(s) why goals are not being met.

(2) to assess progress toward stated PVLNRMA project goals and purposes and the continued validity of assumptions in the context of the project's pilot nature as a basis for decisions concerning modifications, if any, in the design and implementation of the project.

The principal users of the evaluation findings and recommendations will be the Center for PVO/University Collaboration in Development, AID/Burkina Faso, and AID/Burkina's regional development support office, REDSO.

ARTICLE III - STATEMENT OF WORK

An evaluation team will focus on the following issues and questions:

A) Enlisting broad participation of diverse institutions and organizations in Burkina Faso (including the Coordination Committee, Burkina NGOs and local organizations in the pilot zones, and local technical resources) as a project management tool is a hallmark of the project's design so far. What lessons does the operation of this model offer for the remainder of the PVLNRMA and other PVO/NGO projects?

(1) Examine the adequacy of procedures for review and approval of sub-grant proposals.

(2) Assess the effectiveness of the Burkina Coordination Committee in its coordination and approval functions.

(3) Assess the effectiveness of the Burkina Liaison Office's role in program management and liaison activities.

(4) Assess established communication and coordination procedure with PVOs and in-country institutions, e.g. BSONG, SPONG, University of Ouagadougou, AID/Burkina.

B) What is the efficacy of establishing relationships among U.S. university participants, local technical resources, and PVOs, NGOs and local groups in Burkina Faso to enhance Burkina Faso's technical resources for natural resource management in the context of this project?

C) What factors have enhanced achievement of PVLNRMA purposes? What constraints have hampered achievement of PVLNRMA purposes?

D) Do the PVLNRMA objectives (i.e. goals and purposes) and approach--both programmatic and administrative--continue to be valid in light of the project's experience thus far?

Administration:

- (1) Review project reporting for timeliness and accuracy.
- (2) Assess the adequacy of the documentation/information center.
- (3) Assess established data gathering procedures to report relevant interventions.
- (4) Review approved sub-grants for technical and operational effectiveness.
- (5) Review AID/Burkina's administration and support of the project thus far.

Financial:

- (1) Review with cooperating PVOs the fund transfer mechanism and its adequacy.
- (2) Review budget levels and expenditures. Do they compare with project funding levels and availability?

ARTICLE IV - METHODS AND PROCEDURES

During the initial phase of the evaluation, the evaluation team will spend two days at the headquarters to review all project agreements, reports and related documents, as well as interview key Center and Western Carolina University personnel to assess the objectives and the PVLNRMA's current status, including the administrative approach devised for this pilot activity.

The second, in-country phase of the evaluation will comprise approximately three (3) weeks. It will involve two weeks of information gathering consisting of field interviews with local staff, AID/Burkina project managers, PVO field staff working at project sites, and the project's "coordination committee." Toward the end of their second week in Burkina, the team will conduct an interactive discussion with AID/Burkina staff to report on preliminary findings, elicit feedback from AID/Burkina staff, and explore and identify other areas for further analysis. During the last week, a preliminary report of findings will be developed and left for AID/Burkina project managers and with staff person(s) from the PVO/University Center. A staff member from the PVO/University Center headquarters will be available as a resource person.

The third phase will be devoted to finalizing the evaluation report in the United States.

ARTICLE V - REPORTS

For each topic in the evaluation, a section should be included on findings, conclusions, and recommendations. A preliminary report in English consisting of evaluation findings, conclusions based on these

findings, and recommendations about an extension of the project completion date and/or changes to the design and implementation of the project will be submitted for review by AID/Burkina and the Center for PVO/University Collaboration in Development prior to the evaluation teams's departure from Burkina.

A draft final report will be due within four weeks after the evaluation team's departure from Burkina Faso. AID/Burkina and the PVO/University Center will prepare their responses in writing and submit them to the evaluation team within thirty (30) days of receiving the draft final report. The evaluation team will revise the draft in response to these comments as the team members deem necessary and submit a final evaluation report within five work days of receiving comments on the draft.

The evaluation team will provide six finished and bound copies of this report to the Center for PVO/University Collaboration in Development and six copies to AID/Burkina. The final report will include as appendices a scope of work, a list of documents reviewed, a list of individuals interviewed, and a brief description of the evaluation methods and procedures followed.

ARTICLE VI - DESCRIPTION OF CONTRACTOR'S RESPONSIBILITY WITHIN TEAM

The contractor will serve as a member of a team comprised of two persons both of whom have substantial evaluation experience particularly with AID and projects of private voluntary organizations and/or non-governmental organizations.

Mr. C. Stark Biddle will serve as the team leader with primary responsibility for PVO staff interviews, PVO/University Center staff interviews, and organizational analysis. Mr. Biddle will take the lead in developing the evaluation report.

Mr. Nicholas Danforth will complement Mr. Biddle's experience by focusing on participants and beneficiaries. He will take the primary responsibility for field interviews with francophone Burkina NGO staff and other non-English speaking project participants.

ARTICLE VII - SCHEDULE

Two days prior to departing the United States will be spent at the PVO/University Center headquarters and devoted to interviews and reading project documents.

The evaluation team will then travel to Burkina Faso where they will spend twelve (12) days conducting interviews and collecting data. Toward the end of their first two weeks in Burkina, the team will conduct an interactive discussion of the evaluation's status with AID/Burkina staff.

Of their total stay in Burkina of three weeks, the last week (5 - 6 days) will be spent developing a preliminary report of findings to be shared and left for AID/Burkina and the PVO/University Center representative prior to departure.

The evaluation team will have five (5) more days in the U.S. to draft the final report to be shared with the PVO/University Center and AID/Burkina. The PVO/University Center and AID/Burkina will respond to the final draft report, whereby the evaluation team will have one to three days to respond in order to finalize the report of the mid-term external evaluation and prepare it for shipping to the PVO/University Center and AID/Burkina. Hence, the evaluation team will contract for a total of 28 - 30 days which includes a day to travel to Burkina and a day to return from Burkina.

10/21/91

APPENDIX 1

SCHEDULE FOR EVALUATION ACTIVITIES												
	October			November			December			January		
Phase I (3 days)												
Preparation			■									
US Interview			■									
Travel day				■								
Phase II (19 days)												
Data Collection in Burkina				■	■	■	■	■				
Travel day					■							
Phase III (8 days)												
Report Writing Draft (5 days)							■	■	■	■	■	
AID/Center Respond										■	■	■
Final Report												■
Total Days 32												

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APPENDIX E

LIST OF PEOPLE AND INSTITUTIONS INTERVIEWED

In Cullowhee, North Carolina

**For the Center for PVO/University Collaboration in
Development/Western Carolina University:**

Ralph Montee, Project Director
Phyllis Stiles, Project Officer
Dr. Robert Gurevich, Executive Secretary, PVO/University Center
Dr. James Dooley, Vice Chancellor, University Services
Dr. Steve Yurkovich, Associate Dean, Research and Graduate Studies
Dr. Myron Coulter, Chancellor

Representing U.S. University Participants:

Dr. William Hargrove, University of Georgia
Dr. Bryan Duncan, Auburn University
Richard Caldwell, University of Arizona

In Burkina Faso

For the PVO/University Center:

Ellen Tipper, Consultant to the PVLNRMA
Mah Gama, Assistant Liaison Officer

For AID/Burkina:

Dr. Wilbur Thomas, Representative
Sally Sharp, Program Officer
Augustin Ouattara, Project Officer
Dennis McCarthy, Agricultural Officer
Greg Farino, ARTS Project
Steve Reid, AID Representative to CILSS

For Project Partners:

Save the Children:

Oliver Wilder, Field Office Director
Maria Kéré, Program Officer
 Diallo, Saponé Site Director
Mark Joseph, Intern

Africare:

Dellaphine Rauch-Laurent, Country Representative
Ali Danaye, Program Officer

University of Ouagadougou:

Dr. Marie-Michelle Ouedraogo, Former Director of External Relations
Dr. Ousmane Nébié, Former Director of the Institute of Human and
Social Sciences
Dr. Alfred Traoré, Rector

Association Vive Le Paysan:

Andre-Eugene Ilboudo, General Secretary
Hubert Billa, Program Officer

Makasa Kabongo, Director, Catholic Relief Services

Amadou Valian, Deputy Director, BSONG

Zabré Barthelmy, Executive Secretary, SPONG

Dramane Coulibaly, Program Officer, L'Association Burkinabe
d'Action Communautaire

Other:

Theo Lawson, Candidate for Liaison Officer Position

Jeffrey Lewis, West Africa Agricultural Officer, World Bank

Hado Sawadogo, Coordinator, Africa 2000 Project

_____, Extension Agent in Tougouri, Ministry of Environment
and Tourism

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