

A.I.D. EVALUATION SUMMARY - PART I

93239

1. BEFORE FILING 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>USATD/GHANA</u> IES# _____		B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan? Yes <input checked="" type="checkbox"/> Stopped <input type="checkbox"/> Ad hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY _____		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)
641-0122	Natural Resources & Conservation and Historic Preservation	8/29/91	8/28/96	\$5,600	\$4,900

ACTIONS

Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
<p>Action(s) Required</p> <p>1. Based on evaluation findings, the Mission revised the Authorization and Project Description of the Handbook 13 Grant Agreement with the Midwest Consortium for International Activities (MUCIA) to:</p> <p>(a) Increase LOP funding by \$3.4 million to \$10.0 million. This will allow the project to cover costs expected to have been borne by unrealized debt swap resources. Due to Ghana's improved economic climate, discounted debt is unavailable.</p> <p>(b) Extend PACD by one year from August 29, 1996 to August 29, 1997 to recover lost time from beginning of project due to delay in locating debt swaps.</p> <p>(c) Shift project physical location from the Central Region Development Commission (CEDECOM), a Government of Ghana entity, to separate MUCIA premises and to remove financial management control from CEDECOM to MUCIA; and</p> <p>(d) Establish endowments with USAID capitalization of \$850,000 for Kakum Nature Park and \$800,000 for the historic sites.</p>	PDO Rollins	8/94

APPROVALS

F. Date of Mission or AID/W Office Review of Evaluation: _____ (Month) _____ (Day) _____ (Year)

G. Approvals of Evaluation Summary and Action Decisions: August 1 1994

Name (Typed)	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
	Denise Rollins	Charles Hutchinson	Stephen Haykin	Barbara P. Sandova
Signature				
Date	Feb 1, 1995	February 6, 1995	February 3, 1995	Feb 6, 1995

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ABSTRACT

4 Evaluation Abstract (2% of original price allowed)

The project is an unusual combination of activities for USAID. It attempts to promote protection and conservation of a 370 sq.km. forest block known as Kakum National Park/Assin Attandanso Resource Reserve and of three world class historic monuments. Kakum is one of the few remaining vestiges of tropical forest in West Africa with much of its original flora and fauna intact. The three historic monuments are Elmina and Cape Coast Castles and Fort St. Jago. Of the forts and castles on the Ghanaian coast, these sites represent the most important historically in terms of European presence on the continent and the African diaspora. Conservation International, U.S. Committee on Monuments and Sites (US/ICOMOS), the Smithsonian Institution and the University of Minnesota Tourism Center are subgrantees under the project and manage the natural resources, historic preservation, interpretive services and tourism promotion components. The major findings and conclusions are:

- The project is well-managed and will achieve all of its objectives by August 1997.
- Significant progress has been achieved: (1) historic sites are being stabilized and rooms with significant tourism potential are being renovated; (2) Kakum National Park is legally established, logging banned and poaching significantly reduced; (3) tourist visits to sites have increased by 300 percent over 1988 figures; and (4) interpretive facilities have been installed at Cape Coast Castle and the Park, with another facility to be installed at Elmina Castle; and (5) placement of a project coordinator in the Central Region has improved project implementation.
- Due to delays in consummating debt swap deals to generate local currency for the project, the project is a year behind and short of planned local currency resources to meet project objectives. The project evaluators recommended extension of Project Assistance Completion Date by one year to August 1997 and add of additional dollar resources to cover budget shortfall.
- Evaluators recommended restructuring of relationship between MUCIA and the Central Region Development Commission (CEDECOM) to improve project management and reduce delays in implementation.

The evaluators interviewed over 30 people involved with the project to assess impact, strengths and weaknesses. The interview tool was personally administered and analyzed by the evaluators. Their finding that the project is meeting its objectives was critical to the Mission deciding to increase resources to the project.

COSTS

Evaluation Costs

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
Dr. Nacny Lust - Leader	Independent Consultant	30	20,000	MUCIA
Mr. Malcolm Childress -	Financial Analyst	30	20,000	MUCIA
Mr. Dulal Datta -	Chief Engineer	14		REDSO
Mr. Andre Marcel -	Regional Engineer	21		REDSO
Mr. Solomon Atiase -	Regional Engineer	7		REDSO
Mr. Idrissa Samba -	Reg. Environmental Officer	25		REDSO
Mr. John Gaudet -	Environmental Officer	18	5,000	USAID/W/AFR

2. Mission/Office Professional Staff
Person-Days (Estimate) _____

3. Borrower/Grantee Professional
Staff Person-Days (Estimate) _____

b

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: USAID/Ghana	Date This Summary Prepared: January 17, 1995	Title And Date Of Full Evaluation Report: Natural Resources & Conserv. & Historic Preservation Proj. Mid-Term Evaluation
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The project is an unusual combination of activities for USAID. It attempts to promote protection and conservation of a 370 sq.km. forest block known as Kakum National Park/Assin Attandanso Resource Reserve and of three world class historic monuments. Kakum is one of the few remaining vestiges of tropical forest in West Africa with much of its original flora and fauna intact. The three historic monuments are Elmina and Cape Coast Castles and Fort St. Jago. Of the forts and castles on the Ghanaian coast, these sites represent the most important historically in terms of European presence on the continent and the African diaspora. Conservation International, U.S. Committee on Monuments and Sites (US/ICOMOS), the Smithsonian Institution and the University of Minnesota Tourism Center are subgrantees under the project and manage the natural resources, historic preservation, interpretive services and tourism promotion components.

The mid-term evaluation was conducted to:(a) determine what progress and impact have occurred as a result of the project; (b) determine the effectiveness of project implementation arrangements;(c) review the project budget to assess the requirements for additional resources; and (d) analyze different funding scenarios for establishment of two endowments to fund recurring costs to maintain USAID's investment in the historic preservation and natural resource management activities.

The project is substantially achieving project objectives , although there was a significant one year delay in start-up due to the unavailability of discounted debt for debt swaps. As a result of the activities funded under the *natural resource* component, Kakum National Park is now legally established and fully staffed. Significant research activities on ungulates, primates, birds, butterflies, and mammals are underway which will provide comprehensive assessments of the type of various species within the park. A canopy walkway will be constructed by January 1995 to improve tourism potential in the park. All logging in the park has been banned and poaching significantly reduced due to wildlife protection patrols and establishment of camps within the park. The evaluation recommended that additional work be focused on educating human communities surrounding the park to ensure the sustainability of project activities, use of current temporary park headquarters as permanent site, development of a comprehensive management plan for the park, increasing staff morale, completion of a 400 meter canopy walkway, establishment of an endowment to fund the maintenance of the park.

The *historic preservation* component has been instrumental in stabilizing approximately 85 percent of Elmina Castle, 90 percent of Cape Coast Castle and 50 percent of Fort St. Jago. The stabilization efforts have focussed on exterior wall rendering and lime washing and the replacement of over 300 windows and doors, and repair of roofs. Significant structural investigation, building materials analysis, and preparation of working drawings have been accomplished, and the interior renovation of museum rooms, museum shop, and permanent toilets in Cape Coast Castle is underway. A Heritage Management Plan is in draft and, following a conference sponsored by the project in May 1994, should provide guidance on future uses of the monuments and appropriate management of the facilities. Recommendations from the evaluation include a continued focus on stabilizing the structures, limited renovation of rooms that have tourism potential, completion of the Heritage Site Management Plan, further documentation and drawings for restoration efforts, and establishment of an endowment to provide funding for continued maintenance of the facilities.

The *tourism promotion* activities under the project have helped create a cadre of trained tourism professionals in government and the private sector who are now ready to do business with international guests and have the capacity to manage and maintain tourism institutions. Statisticians within the Ministry of Tourism are now capable of

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tracking, predicting, marketing and strategically planning tourism activities. This has been accomplished through familiarization tours, support for local festivals, support for the Pan African Arts Festival (PANAFEST) and Ghana's hosting of the 1994 African Travel Association convention, and preparation of maps and high quality brochures. The evaluation recommended: that further counterpart training should be focussed on developing in-country potential for tourism development and promotion; that a greater number of people should be trained; and, a national tourism data base should be developed to assist the GOG in monitoring tourism and analyzing the impact of tourism revenue on the economy.

A major accomplishment of the *Interpretive services* component has been the provision of physical infrastructure for the display and dissemination of interpretive information concerning the historic structures and the park. This has included construction of a museum fabrication workshop and a small display area at the park and the near completion of a world class museum at Cape Coast Castle (the museum opened officially December 11, 1994). Plans are underway to install a small interpretive facility at Elmina Castle. An ad hoc steering committee of Ghanaian advisors (primarily researchers at the University of Ghana/Legon) has developed comprehensive studies for various aspects of Ghanaian socio-cultural history which are being used as the basis for production of a museum video. The evaluation recommended continuation of project activities as planned with a focus on preparing a cadre of educators to publicly present and interpret the major aspects of the park and historic sites, completion of the Elmina Castle interpretive facility, development of a management plan for the Cape Coast Museum and management and use plan for the fabrication workshop.

Project Management, the fifth and final component of the project, has changed since project inception. The original intent was for MUCIA to manage project activities through a quarterly visit of a project coordinator based in Wisconsin. However, with four U.S. subgrantees and four Ghanaian organizations involved in project implementation, it became clear that an project manager based in Ghana would be needed to oversee myriad activities. A resident project manager was hired, with USAID approval, in 1992. The MUCIA coordinator's office is currently physically housed in the Central Region Development Commission (CEDECOM) office building, as CEDECOM is the lead Government of Ghana agency promoting development of the Central Region. Additionally, CEDECOM provided accounting, administrative and logistical support to the project. This relationship, however, has deteriorated as CEDECOM is obliged to follow GOG regulations involving the approval of expenditures and awarding of contracts and management of personnel. This requirement significantly slowed project implementation. As a result, the evaluation recommended restructuring of the relationship between CEDECOM and MUCIA by MUCIA relocating to a separate facility and hiring all staff required to manage the USAID grant agreement and project activities. CEDECOM will co-chair quarterly oversight committees which will allow the organization to stay abreast of project activities.

ATTACHMENTS

K. Attachments (List attachments submitted with the 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.)

MID-TERM EVALUATION, SEPTEMBER 13, 1994

COMMENTS

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

The Mission is pleased with the collaborative way in which the evaluation was conducted. The document addresses all areas of the scope of work and provided answers that now allowed the Mission to revise the grant agreement and increase overall resources to the project. Following extensive consultation with the Mission, grantees and counterparts, the evaluators were able to provide additional insight to the Mission on the progress that has been made in achieving project objectives.

The budget and endowment analyses conducted by the evaluators were critical in assisting the Mission make tough decisions about future funding levels and the resource requirements to capitalize the two endowments.

The major lesson learned for this project is the need to closely coordinate project activities with all parties involved. This is often difficult when there are five U.S. organizations and four local organizations involved and communication is difficult. However, the role of the resident project coordinator is even more critical in ensuring that expectations are understood and problems relayed as quickly as possible to those who can resolve them. The excellent working relationship between the resident coordinator and subgrantees and counterparts plays a key role in keeping this project on target. The project has benefited from the commitment and dedication of the resident coordinator.

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**INSTRUCTIONS FOR COMPLETING AND SUBMITTING
"A.I.D. EVALUATION SUMMARY"**

This form has two parts. Part I contains information to support future A.I.D. management action, and to process the evaluation into A.I.D.'s automated "memory". Part II is a self-contained summary of key elements of the full evaluation report; it can be distributed separately to interested A.I.D. staff.

WHAT WILL THIS FORM BE USED FOR?

- Record of the decisions reached by responsible officials, so that the principals involved in the activity or activities evaluated are clear about their subsequent responsibilities, and so that headquarters are aware of anticipated actions by the reporting unit.
- Notification that an evaluation has been completed, either as planned in the current Annual Evaluation Plan or for *ad hoc* reasons.
- Summary of findings at the time of the evaluation, for use in answering queries and for directing interested readers to the full evaluation report.
- Suggestions about lessons learned for use in planning and reviewing other activities of a similar nature. This form as well as the full evaluation report are processed by PPC/CDIE into A.I.D.'s automated "memory" for later access by planners and managers.

WHEN SHOULD THE FORM BE COMPLETED AND SUBMITTED? After the Mission or A.I.D./W office review of the evaluation, and after the full report has been put into a final draft (i.e., all pertinent comments included). The A.I.D. officer responsible for the evaluation should complete this form. Part of this task may be assigned to others (e.g., the evaluation team can be required to complete the Abstract and the Summary of Findings, Conclusions, and Recommendations). The individual designated as the Mission or A.I.D./W evaluation officer is responsible for ensuring that the form is completed and submitted in a timely fashion.

WHERE SHOULD THE FORM BE SENT? A copy of the form and attachment(s) should be sent to each of the following three places in A.I.D./Washington:

- The respective Bureau Evaluation Office
- PPC/CDIE/DI/Acquisitions, Room 209 SA-18 (Note: If word processor was used to type form, please attach floppy disk, labelled to indicate whether WANG PC, WANG OIS or other disk format.)
- SER/MO/CPM, Room B930 NS (please attach A.I.D. Form 5-18 or a 2-way memo and request duplication and standard distribution of 10 copies).

HOW TO ORDER ADDITIONAL COPIES OF THIS FORM: Copies of this form can be obtained by sending a "Supplies/Equipment/Services Requisition" (A.I.D. 5-7) to SER/MO/RM, Room 1264 SA-14 in A.I.D./Washington. Indicate the title and number of this form ("A.I.D. Evaluation Summary", A.I.D. 1330-5) and the quantity needed.

PART I (Facesheet and Page 2)

A. REPORTING A.I.D. UNIT: Identify the Mission or A.I.D./W office that initiated the evaluation (e.g., U.S.A.I.D./Senegal, S&T/H). Missions and offices which maintain a serial numbering system for their evaluation reports can use the next line for that purpose (e.g., ES# 87/5).

B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? If this form is being submitted close to the date indicated in the current FY Annual Evaluation Plan (or if the final draft of the full evaluation report was submitted close to that date), check "yes". If it is being submitted late or as carried over from a previous year's plan, check "slipped". In either case, indicate on the next line the FY and Quarter in which the evaluation was initially planned. If it is not included in this year's or last year's plan, check "ad hoc".

C. EVALUATION TIMING: If this is an evaluation of a single project or program, check the box most applicable to the timing of the evaluation relative to the anticipated life of the project or program. If this is the last evaluation expected to inform a decision about a subsequently phased or follow-on project, check "final", *even though the project may have a year or more to run before its PACD*. If this is an evaluation of more than a single project or program, check "other".

D. ACTIVITY OR ACTIVITIES EVALUATED: For an evaluation covering more than four projects or programs, only list the title and date of the full evaluation report.

E. ACTION DECISIONS APPROVED BY MISSION OR A.I.D./W OFFICE DIRECTOR: What is the Mission or office going to do based on the findings, conclusions, and recommendations of the evaluation; when are they going to do it; and who will be responsible for the actions required? List *in order of priority or importance* the key actions or decisions to be taken, unresolved issues and any items requiring further study. Identify as appropriate A.I.D. actions, borrower/grantee actions, and actions requiring joint efforts. Indicate any actions that are preliminary pending further discussion or negotiation with the borrower/grantee.

F. DATE OF MISSION OR A.I.D./W OFFICE REVIEW OF EVALUATION: Date when the internal Mission or office review was held or completed.

G. APPROVALS OF EVALUATION SUMMARY AND ACTIONS DECISIONS: As appropriate, the ranking representative of the borrower/grantee can sign beside the A.I.D. Project or Program Officer.

H. EVALUATION ABSTRACT: This one-paragraph abstract will be used by PPC/CDIE to enter information about the evaluation into A.I.D.'s automated "memory". It should invite potentially interested readers to the longer summary in Part II and perhaps ultimately to the full evaluation report. It should inform the reader about the following:

- If the evaluated activity or activities have characteristics related to the reader's interests.
- The key findings, conclusions, and lessons.
- An idea of the research methods used and the nature/quality of the data supporting findings.

Previous abstracts have often been deficient in one of two ways:

- Too much information on project design, implementation problems, and current project status discourages readers before they can determine if there are important findings of interest to them.
- A "remote" tone or style prevents readers from getting a real flavor of the activity or activities evaluated; progress or lack of progress; and major reasons as analyzed by the evaluation.

In sequential sentences, the abstract should convey:

- The programming reason behind the evaluation, and its timing (e.g., mid-term, final);
- The purpose and basic characteristics of the activities evaluated;
- A summary statement of the overall achievements or lack thereof to date;
- A picture of the status of the activities as disclosed in the full evaluation report;
- An idea of the research method and types of data sources used by the evaluators;
- The most important findings and conclusions; and key lessons learned.

Avoid the passive tense and vague adjectives. Where appropriate, use hard numbers. (An example of an abstract follows; "bullets" may be used to highlight key points).

EXAMPLE OF AN ABSTRACT

The project aims to help the Government of Zaire (GOZ) establish a self-sustaining primary health care (PHC) system in 50 rural health zones (RHZ). The project is being implemented by the Church of Christ in Zaire and the GOZ's PHC Office. This mid-term evaluation (8/81-4/84) was conducted by a GOZ-USAID/Z team on the basis of a review of project documents (including a 4/84 project activity report), visits to nine RHZ's, and interviews with project personnel. The purpose was to clarify some uncertainties about the initial design and set future priorities for activities. The major findings and conclusions are:

- This well-managed and coordinated project should attain most objectives by its 1986 end.
- Progress has been good in establishing RHZ's, converting dispensaries into health centers, installing latrines (over double the target), and training medical zone chiefs, nurses, and auxiliary health workers. Long-term training has lagged however, and family planning and well construction targets have proven unviable.
- The initial assumption that doctors and nurses can organize and train village health committees seems invalid.
- User fees at health centers are insufficient to cover service costs. A.I.D.'s PRICOR project is currently studying self-financing procedures.
- Because of the project's strategic importance in Zaire's health development, it is strongly recommended to extend it 4-5 years and increase RHZ and health center targets, stressing pharmaceutical/medical supplies development and regional Training for Trainers Centers for nurses, supervisors, and village health workers.

The evaluators noted the following "lessons":

- The training of local leaders should begin as soon as the Project Identification Document is agreed upon.
- An annual national health conference spurs policy dialogue and development of donor sub-projects.
- The project's institution-building nature rather than directly service nature has helped prepare thousands of Zairis to work with others in large health systems.

I. EVALUATION COSTS: Costs of the evaluation are presented in two ways. The first are the cost of the work of the evaluation team per se. If Mission or office staff serve as members of the team, indicate the number of person-days in the third column. The second are the indirect estimated costs incurred by involvement of other Mission/Office and borrower/grantee staff in the broader evaluation process, including time for preparations, logistical support, and reviews.

PART II (Pages 3-6)

J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS: The following reflects a consensus among A.I.D.'s Bureaus on common elements to be included in a summary of any evaluation. The summary should not exceed the three pages provided. It should be self-contained and avoid "in-house" jargon. Spell out acronyms when first used. Avoid unnecessarily complicated explanations of the activity or activities evaluated, or of the evaluation methodology; the interested reader can find this information in the full evaluation report. Get all the critical facts and findings into the summary since a large proportion of readers will go no further. Cover the following elements, preferably in the order given:

1. Purpose of the activity or activities evaluated. What constraints or opportunities does the loan and/or grant activity address; what is it trying to do about the constraints? Specify the problem, then specify the solution and its relationship, if any, to overall Mission or office strategy. State logframe purpose and goal, if applicable.

2. Purpose of the evaluation and methodology used. Why was the evaluation undertaken? Briefly describe the types and sources of evidence used to assess effectiveness and impact.

3. Findings and conclusion. Discuss major findings and interpretations related to the questions in the Scope of Work. Note any major assumptions about the activity that proved invalid, including policy related factors. Cite progress since any previous evaluation.

4. Principal recommendations for this activity and its offspring (in the Mission country or in the office program). Specify the pertinent conclusions for A.I.D. in design and management of the activity, and for approval/disapproval and fundamental changes in any follow-on activities. *Note any recommendations from a previous evaluation that are still valid but were not acted upon.*

5. Lessons learned (for other activities and for A.I.D. generally). This is an opportunity to give A.I.D. colleagues advice about planning and implementation strategies, i.e., how to tackle a similar development problem, key design factors, factors pertinent to management and to evaluation itself. There may be no clear lessons. Don't stretch the findings by presenting vague generalizations in an effort to suggest broadly applicable lessons. If items 3-4 above are succinctly covered, the reader can derive pertinent lessons. On the other hand, don't hold back clear lessons even when these may seem trite or naive. Address:

- Project Design Implications. Findings/conclusions about this activity that bear on the design or management of other similar activities and their assumptions.
- Broad action implications. Elements which suggest action beyond the activity evaluated, and which need to be considered in designing similar activities in other contexts (e.g., policy requirements, factors in the country that were particularly constraining or supportive).

NOTE: The above outline is identical to the outline recommended for the Executive Summary of the full evaluation report. At the discretion of the Mission or Office, the latter can be copied.

K. ATTACHMENTS: Always attach a copy of the full evaluation report. A.I.D. assumes that the bibliography of the full report will include all items considered relevant to the evaluation by the Mission or Office. **NOTE:** if the Mission or Office has prepared documents that (1) comment in detail on the full report or (2) go into greater detail on matters requiring future A.I.D. action, these can be attached to the A.I.D. Evaluation Summary form or submitted separately via memoranda or cables.

L. COMMENTS BY MISSION, AID/W AND BORROWER/GRANTEE: This section summarizes the comments of the Mission, AID/W Office, and the borrower/grantee on the full evaluation report. It should enable the reader to understand their respective views about the usefulness and quality of the evaluation, and why any recommendations may have been rejected. It can cover the following:

- To what extent does the evaluation meet the demands of the scope of work? Does the evaluation provide answers to the questions posed? Does it surface unforeseen issues of potential interest or concern to the Mission or Office?
- Did the evaluators spend sufficient time in the field to fully understand the activity, its impacts, and the problems encountered in managing the activity?
- Did any of the evaluators show particular biases which staff believe affected the findings? Avoid ad hominem discussions but cite objective evidence such as data overlooked, gaps in interviews, statements suggesting a lack of objectivity, weaknesses in data underlying principle conclusions and recommendations.
- Did the evaluation employ innovative methods which would be applicable and useful in evaluating other projects known to the Mission or Office? Note the development of proxy measures of impact or benefit; efforts to construct baseline data; techniques that were particularly effective in isolating the effects of the activity from other concurrent factors.
- Do the findings and lessons learned that are cited in the report generally concur with the conclusions reached by A.I.D. staff and well-informed host country officials? Do lower priority findings in the evaluation warrant greater emphasis?

N

**FINAL REPORT: MID-TERM EVALUATION
NATURAL RESOURCE CONSERVATION AND HISTORIC
PRESERVATION PROJECT**

Submitted to:

**USAID/Ghana
September 13, 1994**

Submitted by:

**Dr. Nancy Lust, Team Leader/Independent Consultant
Mr. Malcolm Childress, Financial Analyst/Independent
Consultant
Mr. Dulal Datta, Chief/Engineering Division/REDSO/WCA
Mr. Andre Marcel, Engineering Advisor/REDSO/WCA
Mr. Solomon Atiase, Regional Engineering Advisor/REDSO/WCA
Mr. Idrissa Samba, Regional Environmental Advisor/REDSO/WCA
Mr. John Gaudet, Project Design, AID Washington**

EXECUTIVE SUMMARY

This Executive Summary presents the main results of a mid-term evaluation of the Natural Resource Conservation and Historic Preservation Project (NRCHP). The study was conducted for USAID/Ghana by a team of seven evaluators, including two outside contractors (team leader and financial analyst) and five USAID staff from Washington D.C. and the Regional Development Support Office for West Africa (REDSO/WCA). The evaluation was planned and implemented during the months of May and June 1994.

RATIONALE AND GOAL OF THE EVALUATION

Since the inception of the project, certain assumptions underlying the project (and contained in the original Project Description) have changed and new issues have surfaced. These have included: unplanned demands on the budget; inability to leverage \$4 million in cedis using a debt for development swap or blocked currency mechanism; realization that larger endowments than originally planned would be needed to sustain activities at the park and historic sites; and USAID's plan to change the project's funding mechanism (i.e., from a grant to a cooperative agreement) leading to more Mission involvement in the project and affecting the MUCIA/CEDECOM relationship, making MUCIA solely responsible for financial management of the project.

Given the funding issues and budget changes, USAID requested that MUCIA conduct an evaluation to:

- assess the progress that has been made during the first half of the project;
- determine the status of the project components, particularly given changes in expected funding, vis a vis their stated objectives and planned activities;
- provide a financial basis for establishment of the endowments, and;
- based on the findings, make recommendations on the most appropriate way to proceed over the last half of the project.

PROGRESS TO DATE

To date (March 1994), the project overall has been successful in achieving planned objectives. Although there was a significant delay in project start-up related to efforts to

leverage funds through a debt for development swap, most planned activities since then have been implemented in a timely fashion.

The Natural Resource Conservation Component's central accomplishment has been the institutionalization of Kakum Park and Assin Attandanso Wildlife Production Area as a legal and functional entities. The park is fully staffed by junior and senior officers from the Department of Game and Wildlife. A road, and a Visitor's Center/Park Office have been built. Wildlife protection patrols are routine and research on the area's natural resources is progressing. More work is still needed towards meeting objectives related to human communities studies, development of a master plan for the park, and training for junior and senior staff. The component has spent \$614,000 financed by AID, representing about 33 percent of its original budget.

The major accomplishment of the Historic Preservation Component has been extensive stabilization on Cape Coast Castle and Elmina Castle, focussed on exterior wall rendering and lime washing and replacement of windows. The component has also accomplished a great deal in the area of architectural investigation, building materials analysis and preparation of working drawings. A Heritage Management Conference was held in May, 1994 and a draft site management plan developed. The most significant interior renovation has been the preparation of the museum rooms in Cape Coast Castle. Much work remains to be done, however, including structural repairs, exterior stabilization of walls, and replacement of roofing doors and some windows. Also, further documentation and drawings are needed to guide restoration and future use, as the draft management plan is still a rough document requiring careful revision to develop it into a full-formed management strategy. The component has spent \$326,000 of AID money, or about 29 percent of its original budget.

The most important accomplishment of the Tourism Promotion, Marketing and Planning Component has been the creation of a cadre of trained tourism professionals in government and the private sector who are now ready to do business with international guests and have the capacity to manage and maintain tourism institutions. Also, statisticians in the Ministry of Tourism now have the capability to track, predict and strategically plan tourist activities. Another major achievement has been the marketing of the Central Region as an international tourism destination. This has been accomplished through familiarization tours, support for local festivals, support for PANAFEST, support for Ghana's hosting of the African Travel Association's yearly convention and the Host Country Day. The Component has also assisted in preparation of maps and a high quality brochure to distribute to potential

tourists and has worked with local businesses and with local government in several initiatives to improve facilities and promote expansion of the local tourism sector. The Tourism Component has spent \$242,000 of AID money which represents 27 percent of its original budget.

The Interpretive Services Component is supportive of the other components. Its major accomplishment to date has been the provision of physical infrastructure for the display and dissemination of interpretive information concerning the historic structures and the park. This has included completion of an interpretive facility at the park, near completion of the museum exhibition at Cape Coast Castle, and near completion of a fabrication workshop. The Component has also accomplished much in the area of planning and data collection. An ad hoc steering group of Ghanaian advisors on cultural/historic presentation was formed and developed a comprehensive report for the provision of interpretive services at the historic structures. The report served as the basis for the script for the museum video which is almost completed. There is still considerable work to be completed related to preparation of interpretive materials and training a cadre of educators to publicly present and interpret the major aspects of the park and historic sites. Also, the museum exhibition at Elmina needs to be completed. The Component has spent \$461,000 of AID money which is 65 percent of its original budget.

The Project Management Component has evolved considerably since it was originally designed in 1990. The most significant change was the creation in 1992 of a Resident Advisor's position to monitor day-to-day implementation of the project. This resulted from a joint decision between MUCIA and the Mission that the Project Coordinator's quarterly visits to the project would not be sufficient to adequately manage the project. It was also decided at that time to physically locate the Resident Advisor within CEDECOM and to contract with CEDECOM for the provision of accounting, administrative, and logistical services to support the project. At that time, CEDECOM staff were also included in the expense approval and check signing process for project-related expenditures.

Another change has involved Project Management's relationship with CEDECOM. As a government agency, CEDECOM is obliged to follow specific GOG regulations involving the approval of expenditures, the awarding of contracts, and the management of personnel. For the first year of the project MUCIA tried to work within the confines of these rules, but by March 1993 management, sub-grantees and the Mission all agreed that progress to date had been extremely slow and frustrating for all those involved. A decision was made by the Project

Steering Committee to alter the relationship with CEDECOM, especially as it related to the approval of Project authorized expenditures. As a result, much of the expenditure approval authority was transferred from CEDECOM to the Resident Advisor. While this decision greatly accelerated implementation of activities, working relations with CEDECOM deteriorated considerably. Therefore, it was ultimately decided in March of 1994 that MUCIA Project Management should sever its direct relationship with CEDECOM, contracting directly for the support services which until then had been provided, and physically moving our of CEDECOM and establishing its own management offices. However, programmatic and technical ties will remain since these are deemed necessary to avoid duplication of efforts in the implementation of the CERIDEP program. This component has spent \$560,400 in AID funds, or 63 percent of its original budget.

MAJOR EVALUATION FINDINGS

The evaluation resulted in four types of findings. These are detailed in Chapters 4 -7 in the Final Report. The conclusions and recommendations are derived directly from these findings.

CONCLUSIONS AND RECOMMENDATIONS: HISTORIC PRESERVATION

The team's major conclusions for the HP Component are:

1. The historic structures are an integral component of the Central Region tourism promotion strategy and should be restored to a level that will meet international expectations.
2. The project has done an excellent job in working to stabilize the structures from further degradation, but much more work still remains.
3. A comprehensive site management plan is necessary for adequate conceptualization, pre-planning and cost control of all remaining construction activities.
4. An endowment is necessary to ensure the financial sustainability of the structures.
5. The component would benefit from a full-time Resident Coordinator to improve organization and management of construction activities.

Priority recommendations are for the second half of the project are:

1. Complete basic stabilization activities at all three historic structures.
2. Continue renovation of selected spaces at the three structures that have most potential for increasing tourism development.
3. Delay beginning of other construction activities until the recommendations of the 1994 Management Conference subcommittee on Function and Adaptive Use are reviewed by GOG and a comprehensive management plan is developed.
4. Establish an endowment of \$800,000.
5. Provide a full-time HP Component Coordinator in Cape Coast.

CONCLUSIONS AND RECOMMENDATIONS: NATURAL RESOURCE CONSERVATION

The team's major conclusions are:

1. The Kakum National Park/Assin Attandaso Resource Reserve is an integral component of the Central Region tourism promotion strategy.
2. Conservation efforts have been relatively successful in protecting biological diversity found in the park.
3. The canopy walkway and its related site development are necessary to tourism development at the park.
4. An endowment is necessary to ensure the financial sustainability of the park.
5. Conservation activities at the park will suffer if the problems of low staff morale resulting from low pay/poor accommodation are not addressed.
6. The current visitor center is sufficient infrastructure to function as a permanent park headquarters.
7. Community education and community development activities have not received sufficient attention or resources.
8. A comprehensive management plan is essential to proper park functioning and long-term sustainability.
9. In terms of construction, there has been a serious lack of conceptualization and preplanning on the part of all responsible parties - MUCIA, CI, CEDECOM, and other Government of Ghana (GOG) officials.

The team's priority recommendations for the park for the second half of the project are:

1. Use the current "temporary" visitor center as the permanent park headquarters.
2. Build the canopy walkway and develop its associated site.
3. Establish an endowment of \$850,000 for the park.
4. Develop a comprehensive park management plan.
5. Increase local public awareness regarding ecological importance of the park by increasing outreach efforts into local communities.
6. Increase community development activities especially in the areas of income generation.
7. Provide housing for staff.

CONCLUSIONS AND RECOMMENDATIONS: INTERPRETIVE SERVICES

The team's major conclusions are:

1. Future retention of skilled counterpart staff may be problematic given the low salaries and human resources personnel policies within GMMB.
2. A comprehensive museum management plan is necessary for adequate planning (including cost estimation), cost control and implementation of museum exhibitions and other museum-related activities.
3. A comprehensive management plan for the fabrication workshop is necessary for adequate planning and continued implementation of fabrication activities once the project is completed.
4. Overall cost estimation and financial management among all parties have been inadequate, leading to significant cost overruns.
5. Endowment income will be necessary to maintain the museum rooms and other interpretive services.

The team's priority recommendations for the second half of the project are:

1. Develop a comprehensive management plan for the museum at Cape Coast Castle, followed by a plan for the proposed

museum at Elmina. These plans must fit into any overall heritage monument plan approved by GOG.

2. Utilize Ghanaian counterparts trained under the project to train other GMMB staff, thus enhancing sustainability of project activities if current staff leave/are promoted to other positions within GMMB.
3. Develop a strategy for the long-term management and use of the fabrication workshop.
4. Use a portion of the funds from the historic structures endowment to maintain museum rooms and fund other interpretive services.

CONCLUSIONS AND RECOMMENDATIONS: TOURISM PROMOTION, MARKETING AND PLANNING

The team's major conclusions are:

1. Tourism in the Central Region has increased as a result of the project's marketing, promotion and planning activities.
2. The strategy of proceeding slowly is sound, although there is an urgent need for further hotel development in the Central Region.
3. Training of counterpart staff has been limited to too few individuals; project sustainability may be at risk if there is "brain drain."
4. The training provided counterparts has been too heavily dependent on using overseas programs in developed countries.
5. Achievement of project objectives would be enhanced if there were a functioning national database on tourism.

The team's priority recommendations for the second half of the project are:

1. Continue the heavy emphasis on marketing and promotional strategies as they have been so successful. However, plan and budget more accurately for these activities.
2. Increase the number of counterpart staff being trained to create a larger network of individuals capable of planning, marketing, and promoting tourism in the Central Region.

3. Assist GTB to develop a national tourism data base. As a questionnaire already exists, assistance should address data analysis, monitoring techniques/quality control and report writing. Such data will have an impact on tourism planning and marketing for the Central Region.
4. Decrease the emphasis on using overseas programs for training counterparts. Seek out targets of opportunity closer to home, particularly in West Africa where the tourism context is closer to the Ghanaian context.

CONCLUSIONS AND RECOMMENDATIONS: PROJECT MANAGEMENT

Conclusions and recommendations for this component are organized in three groups: MUCIA Management Structure, MUCIA's Institutional Relationships with Counterparts, and Sub-Grantees Institutions Relationships with Counterparts.

MUCIA Management Structure

The team's main conclusions about the management structure are:

1. Management has been effective in getting results. It would be even more effective if its relationship with consortium members were characterized by more communication, clarification of roles and responsibilities, and teamwork.
2. Financial management from the Columbus office is a major strength of the management team.
3. Improving communication between consortium members and the Resident Advisor in Ghana is critical to achieving project objectives in a timely fashion.
4. Endowments would be better managed and have better chances for sustainability if a secretariat were established and if MUCIA were involved in its establishment.
5. A "no cost to the government" extension of the PACD is needed until the end of March 1997.

The team's priority recommendations for the second half of the project are:

1. MUCIA should be maintained as prime contractor. It has shown itself to be successful in achieving project objectives.

2. Continue to fund a full-time Resident Advisor. The administrative complexity of the project requires closer management and supervision of project activities.
3. Improve communication with Ghana by establishing set times/schedules when the Resident Advisor will be available in Accra to accept/make telephone calls/send faxes. This will eliminate wasted time and effort of trying to call and not get through. Also there will be fewer "mix-ups" in implementing project activities as people will be communicating more regularly.
4. There should be a review of roles and responsibilities of MUCIA Project Coordinator, the Resident Advisor, and sub-contractors, identifying any redundancies or inconsistencies. This will facilitate communication and contribute to more efficient project implementation.
5. Establish a calendar of regularly scheduled meetings in the U.S. for consortium members and invite the Resident Advisor to some of the meetings. This will enhance development of a team spirit among the group.
6. MUCIA should establish and fund an endowment secretariat.
7. MUCIA should prepare a formal request to the Mission requesting a 'no cost to the government' extension of the PACD until the end of March 1997. The team furthermore recommends that the Mission approve MUCIA's request.

MUCIA's Institutional Arrangements with Counterparts

The team's major conclusions about MUCIA's relationship with counterpart agencies are:

1. The relationship between MUCIA and CEDECOM would be strengthened if the Executive Secretary is more involved in project review and planning activities.
2. There is a need to clarify the MUCIA/CEDECOM/USAID link. The presentation of preliminary evaluation findings at USAID in June 1994 was a good start.
3. There is a need to clarify the links/lines of authority between MUCIA, CEDECOM, and the line agencies (who reports to whom?) The presentation of preliminary evaluation findings at USAID in June 1994 was a good start as well.
4. MUCIA's relationship with the private sector is a model of success.

5. Relationships with counterparts would be enhanced by a more efficient financial disbursement and reporting system.

The team's priority recommendations for the second half of the year are:

1. Convene a meeting between USAID, CEDECOM, MUCIA and other GOG agencies to review/clarify official links, roles and responsibilities.
2. Develop a new jointly agreed upon project organizational plan. Include procedures for increasing involvement of the CEDECOM Executive Secretary.
3. Establish a MUCIA office physically apart from CEDECOM. Hire a small staff, or consider contracting out services such as financial accounting and security. However, continue to work with CEDECOM as the lead development institution at the policy level.
4. Increase the size of imprest accounts for all components to approximately one-month's budget.

Institutional Arrangements between Sub-Grantees and GOG Counterparts

The team's main conclusions about institutional arrangements between sub-grantees and GOG counterparts are:

1. The HP and IS components would benefit from better collaboration with GMMB, but trying to resolve issues internal to Monuments and Museum divisions is out of the components' scope of work.
2. The lack of time spent incountry by sub-grantees is a major cause of poor communication with counterparts, project inefficiency and cost overruns.

The team's recommendations for the second half of the project are:

1. Urge sub-grantees to stay in country at least two weeks when visiting.
2. Conduct semi-annual project review/planning meetings between sub-grantees and counterparts to increase communication and overall project efficiency.
3. Invite GMMB architects to attend museum project review/planning meetings to foster collaboration between Museums and Monuments divisions.

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CHAPTER 1: INTRODUCTION

The following report provides the results of a mid-term evaluation of the Natural Resource Conservation and Historic Preservation Project (NRCHP). The study was conducted for USAID/Ghana by a team of seven evaluators, including two outside contractors (team leader and financial analyst) and five USAID staff from Washington D.C. and the Regional Development Support Office for West Africa (REDSO/WCA). A list of the project evaluators is found in Annex 1.

The evaluation was planned and implemented during the months of May and June 1994. MUCIA had overall responsibility for managing the evaluation and for ensuring that the scope of work was completed.

1.1 Background of the Project

On August 27, 1991, USAID/Ghana and the Midwest University Consortium for International Activities (MUCIA) signed a grant agreement to provide \$5.6 million over five years to help protect and preserve two of Ghana's most important national resources: Kakum/Assin Attandanso Nature Park and three world class historical structures--Cape Coast and Elmina Castles and Fort St. Jago.

The Project consists of five components, four of which are implemented through sub-grant agreements between MUCIA and other organizations as follows:

1.1.1 Natural Resource Conservation

This component specifically focuses on the protection of 360 sq. km. known as Kakum/Assin Attandanso, one of the few remaining vestiges of tropical forest in this part of Africa with much of its original flora and fauna intact. Technical assistance, training and limited commodities are provided through the grant to develop an operational plan for the park, conduct assessments of wildlife, water, forest and human resources, and for the development of a management and park infrastructure development plan. Long term sustainability is a critical integrated element of this component, and plans are underway to establish an endowment to cover recurrent costs of park operation. Conservation International is the MUCIA sub-grantee implementing this component.

1.1.2 Historic Preservation

Preservation and restoration of three of Ghana's world class historic structures--Elmina and Cape Coast Castles and Fort St. Jago--are the focus of this component. Of the 32 remaining European fortifications built on the West Coast of Africa, 26 are in Ghana and 22 are in the Central Region. Of all the forts and castles on the Ghanaian coast, these three sites represent the most important historically. Perhaps no other structures in the world are at once so important to an understanding and appreciation of the age of European exploration; the interaction between European and African economies, culture, and political systems, the introduction of Christianity into Africa; and the enslavement and forced migration of millions of Africans to the Americas. The component supports preservation studies and planning, and the stabilization and restoration of the sites, as well as addresses the issue of long-term sustainability through the establishment of an endowment. The U.S. Committee of the International Council on Monuments and Sites was the MUCIA sub-grantee implementing this component through the end of April, 1994.

1.1.3 Interpretive Services

This component is supportive of the other components and plays an integral part in the overall development of the nature park, forts and castles and tourism. The main activities under this component include, for the park--establishment of an interpretive facility with an appropriate wildlife conservation education program; at the castles--development of appropriate standing and travelling exhibitions on the history of the region, including the West African slave trade, as well as other creative interpretive materials; and for tourism--development of attractive signage and other materials for use by tour operators, hoteliers and travel agents. The Smithsonian Institution is the MUCIA sub-grantee implementing this component.

1.1.4 Tourism Development

This component supports development of a strategy, action plan and marketing plan for promotion of the Central Region's tourism product. Activities include packaging and marketing of the nature park and forts and castles; and development of a tourism product mix attractive to both international and domestic travelers. This includes staff training and development of data bases to assess the impact of tourism on the Ghanaian economy. MUCIA consortium members, principally the Tourism Center of the University of Minnesota, implement this component.

1.1.5 Project Management

This component is comprised of two general areas: (1) a project coordinator and related support staff in the U.S.; and (2) an expatriate (U.S.) resident advisor located in Cape Coast. Together, they are responsible for overall project management, implementation and monitoring.

To assist in the implementation of the project in Ghana's Central region, MUCIA signed a Memorandum of Understanding with the Central Region Development Commission (CEDECOM) to provide certain services such as financial oversight, logistical support and office space.

1.2 Rationale for Mid-Term Evaluation

Since the inception of the project, certain assumptions underlying the project (and contained in the original Project Description) have changed and new issues have surfaced. As a result, the project has been forced to examine its priorities and the future conduct of its activities. The mid-term evaluation is a vehicle for conducting such an examination. The changes that have occurred are described below.

1.2.1 Unplanned Demands on the Budget

Originally the project management component did not include resources for a resident project advisor. However, as implementation got underway, it was recognized that closer attention would have to be paid to resident project elements in the Central Region and that the quarterly visits originally planned by the MUCIA project coordinator would not be enough to ensure that the project would be implemented according to schedule. Additionally, unanticipated cost overruns from the interpretive services workshop and the park, hiring of government staff with project funds until an exoneration from a GOG hiring freeze was received, the need for another vehicle, and hiring of some contractors to perform work originally planned to be undertaken by various government staff placed further unplanned demands on the budget.

1.2.2 Debt for Development Swap

The budget contained in the original Project Description is based on the assumption that AID money could be used to leverage approximately \$4 million worth of cedis using a debt swap or blocked currency mechanism. Changing economic conditions have rendered this assumption irrelevant. As a result, the entire project budget should be revised to reflect actually available funds and the recommendations of the mid-term evaluation.

1.2.3 Establishment of Endowments

It has become clear that the activities related to restoration of the castles and establishment of self-sufficiency are numerous and will involve more resources than USAID/Ghana or the GOG has available at the present time. Likewise, there are no additional donors on the horizon at present to continue activities once USAID/Ghana funding ceases.

In an effort to begin establishment of the two endowments planned for the park and the historic structures, MUCIA contracted with an endowment consultant to provide advice on how to proceed, given that legislation recently passed allowing the establishment of U.S. dollar denominated endowments. Originally, MUCIA had budgeted \$250,000 for each of the endowments over the life of the project as seed capital to attract additional donations. The consultant, however, recommended that the endowments be established with a minimum of a total of \$1.5 million.

1.2.4 Grant Agreement between USAID and MUCIA

Since its inception, the project has been managed by MUCIA through a grant agreement with USAID. As a result of increasing USAID involvement in the project, the Mission has determined that a cooperative agreement with MUCIA would be a more appropriate contracting mechanism. Such a change would also affect the MUCIA/CEDECOM relationship, making MUCIA, not MUCIA/CEDECOM, solely accountable for financial management of the project.

1.3 Goal/Purpose of the Evaluation

Given the funding issues and budget changes described above, USAID requested that MUCIA conduct an evaluation to:

- assess the progress that has been made during the first half of the project;
- determine the status of the project components, particularly given changes in expected funding, vis a vis their stated objectives and planned activities;
- provide a financial basis for establishment of the endowments, and;
- based on the findings, make recommendations on the most appropriate way to proceed over the last half of the project.

1.4 Evaluator/Contractor Tasks

In order to achieve the mid-term evaluation goals, the evaluators were asked to perform the following tasks:

- review project activities undertaken to date against the work plans and assess the status (accomplishments and problems) of those activities and make recommendations for corrective action, if necessary;
- analyze, clarify and evaluate the issue of financial sustainability and accountability and scenarios for endowments for park and historic structures; prepare financial sustainability analyses; and identify the size of endowment required to sustain project activities to be completed;
- critically review, evaluate and assess the relevancy of the original project descriptor and components, and determine, given the total planned USAID/Ghana contribution, what the activities should be and the anticipated end of project status of those activities.
- evaluate program implementation strategies and action plans in terms of achieving program goals;
- analyze and review the institutional arrangement between MUCIA and CEDECOM and other GOG institutions and recommend more effective alliances and relationships with other NGOs if necessary;
- review institutional arrangements between subgrantees and Ghanaian counterparts and make recommendations to strengthen relationships;
- analyze and evaluate current management structure of project and its effectiveness, including role of MUCIA coordinator and resident advisor and potential need for additional local staff to ensure project implementation objectives;
- evaluate the budget implications and requirements for any project description revisions including, if necessary, any scaling back of original project objectives/scope; and
- develop appropriate project performance indicators which compliment USAID's 1992 Country Program Strategic Plan and which are objectively verifiable and impact oriented.

1.5 Organization of the Report

This report is divided into 13 chapters, including this introduction. Chapter 2 discusses the evaluation design. Details are provided on evaluation planning activities, the data collection plan, instrumentation development, and data analysis. Project progress to date for each of the five project components is discussed in Chapter 3. Chapter 4 presents the major qualitative findings related to project management, institutional arrangements and overall project implementation. The major technical findings based on engineering and environmental assessments are provided in Chapter 5. Major financial findings are discussed in Chapter 6 while issues related to endowments are discussed in Chapter 7. The conclusions reached and recommendations made for each of the project components are found in Chapters 8 through 12. Chapter 13 provides conclusions and recommendations related to the two Endowments.

CHAPTER 2: EVALUATION DESIGN

This chapter describes the tasks involved in designing and implementing the evaluation. These tasks included development of the evaluation plan, development of a data collection plan, and data analysis.

2.1 Development of Evaluation Plan

The mid-term evaluation scope of work prepared by USAID served as the base for developing a detailed evaluation plan. Developed in matrix form by the two contractors, the plan described the overall goals of the evaluation, listed nine specific evaluation objectives (based on the contractor tasks detailed in the scope of work), and described sub-objectives for each of the objectives. For each of the sub-objectives, the plan described possible indicators of achievement and sources of data for each of the indicators. This plan tied all other evaluation design activities together (i.e., data collection plan development, questionnaire development, and identification of key informants and key documents). A copy of the evaluation plan is found in Annex 2.

2.2 Development of Data Collection Plan

Based on the evaluation plan, it was determined that technical/quantitative data (i.e., financial, engineering, and environmental assessment data) should be collected through observation, site visits, inspection, and reviewing technical/financial documents and workplans (i.e., ledgers, budgets, architectural drawings, procurement lists, etc.). Informal interviews would be conducted to clarify quantitative findings.

It was also determined, based on the evaluation plan, that qualitative data about the project, particularly regarding issues dealing with project management, should be collected from five key respondent groups. The groups identified were: MUCIA management; sub-grantees/senior expatriate advisors; senior Ghanaian counterparts; Ghanaian counterpart staff; and consultants. It was also determined that the most effective data collection strategy for collecting this data would be structured interviews.

In designing the interview format, the contractors developed a different set of interview questions for each respondent group. This was necessary due to the groups' varying involvement/knowledge of the project. Each set of questions

was based on objectives and sub-objectives listed in the evaluation plan.

2.3 Data Collection Methods in the Field

A total of 32 structured interviews were conducted by the two contractors in May of 1994. Interviewees included: four sub-grantees; two senior expatriate consultants (long-term park resident advisor and major technical consultant for the historic preservation component); the MUCIA project coordinator and resident advisor; four senior Ghanaian counterparts; fourteen counterpart staff; and six project consultants. The interviews with the four sub-grantees were conducted in Washington D.C. prior to the contractors' departure for Ghana; all others were completed in Ghana.

All but four interviewees (because of time factor) were sent a copy of the questions in advance of the interviews. All interviews were conducted face-to-face and averaged two hours in length (with a range of one to six hours). The interviewers used a structured interview guide format in which the interviewees were encouraged to express their opinions as frankly as possible. The interviews went well, and no problems were encountered. Most interviewees were well-prepared, having reviewed the interview questions in advance.

The technical data collection efforts involved taking physical measurements at the sites, reviewing procurement lists, looking at architectural drawings, and reviewing budgets. Interviews with technical experts (construction contractors, wildlife management specialists, architects, etc.) were also conducted.

Financial data was collected by the financial analyst through a process of reviewing account ledgers, budgets, endowment reports, and financial analyses. Interviews with accountants and others familiar with financial issues were also conducted.

Several of the individuals interviewed for qualitative purposes (using the structured interview guides) were also interviewed by the technical and finance specialists on the team for quantitative purposes. A list of all individuals contacted/interviewed (formally and informally) during the evaluation is found in Annex 3.

2.4 Data Analysis

The structured interview data collected during the study were analyzed and summarized, question by question, by respondent group. Data were aggregated to assure anonymity of response. Decision "rules" were made to guide the preparation of the data summaries. Evaluators looked for similar themes/clusters

among responses which were to be highlighted in the summary write-ups. Responses given by only one person were not to be included, unless there was no discernible pattern among responses to a particular question, or unless the respondent pool was particularly small. The question-by-question summaries for the five interviewee groups, with frequency counts for responses to each question, are found in Annex 4.

It should be noted that in all cases, specific references to individuals were not made, and because of multiple responses by interviewees, the frequency of responses to an interview question may be greater than the respondent group size. Also, the data in these summaries represent the opinions/perceptions of the individuals being interviewed. Therefore, caution must be exercised when interpreting and making generalizations about respondents' comments.

Computer spreadsheet programs were used to analyze quantitative technical and financial data. Specific analyses centered on financial sustainability prediction through revenue and expenditure forecasting.

2.5 Identification of Major Findings

To identify the major qualitative findings, the evaluators developed summary response matrices for key evaluation questions (per the evaluation plan). This process involved analyzing each group's question by question summaries in terms of key evaluation questions. (As noted earlier, because of varying degrees of involvement in the project, not all respondents were asked the same questions.) All the data in these summaries--response clusters (responses common to more than one respondent) as well as one-of-a kind answers--were listed in the matrix. Because of the small number of respondents in each group, it was felt necessary to list the one-of-a kind responses to present the most complete picture possible of the groups. With these summary matrices the evaluators were able to identify several major themes that surfaced across the groups. Using this information, and taking into account the level of the respondent group (i.e., degree of knowledge about the project), the evaluators were able to identify the major findings.

Identification of the major technical/financial findings (engineering, environmental, and financial) was made through detailed review of the numerical data, including analysis of recurring and maintenance costs and revenue/expenditures prediction.

2.6 Generation of Conclusions, Recommendations, and Priority Activities

Once the major findings were produced (qualitative and quantitative), common themes and issues were identified among them and their implications examined. The major issues of budget and sustainability discussed in Chapters 6 and 7 were also taken into account. As a result of this process, the evaluators were able to draw fact-based conclusions on which to make recommendations on the most appropriate way to proceed over the last half of the project.

CHAPTER 3: PROGRESS TO DATE

This chapter provides an overview of project progress to date--March 31, 1994--for each component. The objectives listed in the original program description are used as a base for determining what progress has been made and which tasks are still remaining. A summary of key points about each component is provided in narrative form, as well as a point by point table which gives an instant overview of accomplishments.

The tables show the component objectives, as stated in the program description and give an aggregate percentage completion figure. They then display an indication of timeliness, "O" if the objective is on-time and proceeding at its expected pace, "B" if the objective is behind schedule. Each table lists major accomplishments for each objective and accomplishments remaining.

The last section of the chapter shows expenditures to date for each component. This section shows total expenditures and expenditures of AID funds as a percentage of total, originally programmed AID funds.

3.1 Natural Resource Conservation

The primary goal of the Natural Resource Conservation Component (NRC) is the development of Kakum Park in order that the natural resources contained in the protected area will be preserved in perpetuity. The component's ten major objectives (see Table 3.1) focus on the elements of natural resources studies and planning, management of park resources, development of park infrastructure, interpretive services for visitors, and maintenance and future development.

Overall progress to date on the NRC has been good, and work has proceeded in a timely fashion. The component's central accomplishment has been the institution of Kakum Park and Assin Attandanso Wildlife Production Area as legal and functional entities. The park is fully staffed by junior and senior officers from the Department of Game and Wildlife. A road, and a Visitor's Center/Park Office have been built. Wildlife protection patrols are routine and research on the area's natural resources is progressing. The opening of Kakum Park in March, 1994 was attended by Ghana's President and given international publicity.

Progress toward achieving objectives related to human communities studies has not been as good as planned and seems to be somewhat behind schedule.

Additionally, work is still needed in the development of a master plan. The master plan is to a large extent dependent on the outputs of the wildlife and water resources assessments which are underway. Nevertheless, many sections of the plan can be written with currently available information

Training has been forthcoming to staffers, but has not always been widely diffused or followed up. Training to date has not addressed many of the administrative and financial management areas which are a priority for senior staffers.

A long-term advisor from Conservation International is in residence. With regard to the long-term advisor, the language of the original program description describes the position as providing "long-term expertise in conservation planning to CEDECOM...." The reality is that the long-term advisor provides this expertise to the Department of Game and Wildlife. A revised program description should be cognizant of this de facto change.

This component has spent a total of \$733,000 through 3/31/94. Of this total \$614,000 is AID financed with the remainder attributable to the blocked currency donation. The original AID-financed budget for the component was \$1.847 million, which means that the component has spent about 33 percent of its original budget.

Table 3.1

Natural Resources Conservation
 Progress to Date Tasks Remaining

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
1. Operational Plan: Establish guidelines for the operation of the Park for the first 18-24 months of the project.	100	O	Operational Guidelines developed	
2. Wildlife Assessments: Gather and generate sufficient information about the area's flora and fauna to establish guidelines for its sustainable management and to exploit its tourist potential in an environmentally sound and efficient manner.	80	O	Completed studies of primates, ungulates, butterflies, birds, elephant research ongoing	Study of amphibians Integrate findings with master plan
3. Water Resources Assessment: Analyze the watershed protection function and hydrological potential of the Park.	0	B		Execute assessment Integrate findings with master plan
4. Forest Resources Assessment: Document the historic human impact on the forest and present distribution of forest resources in the Park and environs, with focus on botanical resources of the least altered areas and management objectives.	50	B	Prior Use study completed	Deepen botanical assessment Integrate with master plan
5. Human Communities Studies: Document the population size and distribution of human communities around Kakum; their traditional and current patterns of resource use; and present economic development potential in village areas.	15	B		Use study findings to develop economic potential in village areas.

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
6. Training: Provide training opportunities to Park personnel, including rangers, managers, and technical staff, to carry out long-term studies and monitoring of the Park's resources.	50	O	A core of jr. and sr. staff capable of carrying out day-to-day operations with supervision	Ongoing technical training for jr staff, Increased management training for sr. staff.
7. Master Plan: Produce a long-term management plan for the Park and buffer zone.	0	B		Completion of Master Plan Completion depends on adequate and timely assessments
8. Infrastructure Development: Install sufficient infrastructure to protect and manage the Park, accommodate visitors, and bring benefits to the local communities.	75	O	park headquarters/visitor center built toilets installed trails built road resurfaced in surrounding community radio relay tower built tent platforms built roofs provided on schools in nearby villages	build canopy walkway and develop surrounding site build ranger caps in forest build staff residences
9. Long-Term Technical Assistance: Provide long-term expertise in conservation planning to CEDECOM on a sustained basis.	100	O	Long-term advisor, M. Stark, hired in 1993	On-going technical assistance to the component
10. Maintenance Trust Fund: Provide for the long-term protection and maintenance of the Park through creation of Trust Fund.	10	B	Preparation of a financial feasibility study by J. Shatz; preparation of Draft Trust Deed, Databank report	Establishment of Fund Provide technical assistance to support the endowment

3.2 Historic Preservation

The primary goal of the Historic Preservation Component (HP) is the stabilization, preservation and restoration of three major historic sites--Cape Coast Castle, Elmina Castle, and Fort St. Jago. The component's ten major objectives (see Table 3.2) focus on the areas of preservation studies and planning, stabilization and restoration, maintenance and future development. Activities related to interpretive and marketing services for the sites are discussed in sections 3.3 and 3.4 of this chapter.

The major accomplishment of the component to date has been extensive stabilization on Cape Coast Castle and Elmina Castle, focussed on exterior wall rendering and lime washing and replacement of windows.

The component has also accomplished a great deal in the area of architectural investigation, building materials analysis and preparation of working drawings. A Heritage Management Conference was held in May, 1994 and a draft site management plan developed.

The most significant interior renovation has been the preparation of the museum rooms in Cape Coast Castle.

Much work remains to be done, however. Some structural repairs are still needed, and exterior stabilization of walls, and replacement of roofing doors and some windows is a priority.

Further documentation and drawings are needed to guide restoration and future use. The draft management plan is still a rough document and will require careful revision to develop it into a full formed management strategy.

The component has spent \$513,000 in total, approximately \$326,000 of that in AID money. This \$326,000 represents about 29% of the amount originally budgeted from AID funds.

Table 3.2

Historic Preservation
Progress to Date and Tasks Remaining

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
1. Archival Documentary Research: Identify how the appearance and use of the structures have changed over the centuries as they have passed under the control of various European powers.	66	B	Written reports for the Netherlands and Great Britain	Written report for Portugal
2. Architectural and Engineering Investigation: Identify, evaluate, prioritize, and document all of the interior and exterior building fabric requiring stabilization, preservation, restoration, and reconstruction.	100	O	Investigation complete Heritage Mgt. Conference held	
3. Building Materials and Finishes Analysis: Document the historic materials used in the construction of the fort and castles, their sources and the finish sequences used in the major public spaces.	100	O	Written report presented	
4. Archaeological Reconnaissance Survey: Identify where archaeological investigations may be warranted to confirm historical conditions prior to the commencement of restoration work.	20	B	Limited excavation at Cape Coast Castle	Investigation at Elmina and Fort St. Jago
5. Historic Structure Report: Prepare a comprehensive report which will serve as the overall guiding document for the stabilization, preservation, restoration, reconstruction and long-term maintenance of each site.	50	B	Master's thesis written on Cape Coast Castle, Ph.D thesis on Ft. St. Jago	Document stabilization and restoration as work progresses Report on Elmina Castle
6. Working Drawings and Specifications: Produce all construction documents necessary to execute preservation, restoration, and reconstruction work.	66	B	scaled drawings for Cape Coast and Ft. St. Jago	working drawings for Elmina

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
7. Urban Preservation Planning: Conduct preliminary architectural investigation of the urban centers of Cape Coast and Elmina townships.	10	B	Preliminary study of certain houses	Create full reports on urban architecture and history of the two towns
8. Basic Required Stabilization: Halt further exterior and interior deterioration of the physical fabric of the structures due to the effects of natural elements, i.e., rain and salt ocean water penetration.	50	O	<ul style="list-style-type: none"> - closure of all door and window openings with temporary coverings to eliminate water penetration at all sites - exterior walls/rendering and lime washing completed at 20% at Cape Coast Castle - exterior walls/rendering and lime washing completed at 55% at Elmina Castle 	<p>For all sites:</p> <ul style="list-style-type: none"> -Structural stabilization, underpinning, rebuilding as necessary and reinforcement of all exterior and interior foundations, walls, roofs, and floors; -Opening of all roof, deck, and courtyard drainage systems to properly remove rain water; -Complete resurfacing and sealing of all exterior vertical wall surfaces and horizontal paved surfaces necessary to eliminate water penetration;

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
<p>9a. Preservation, Restoration, and Reconstruction: Execute work called for in architectural construction documents. Complete exterior restoration to make structures fully useable for public visitation and interpretation of the structure..</p>	50	0	<p>Cape Coast Castle: - window replacement completed at 90 %</p> <p>Elmina: - window replacement completed at 99 %</p> <p>Ft. St. Jago: - window replacement completed at 99 %</p>	<p>Restoration of Exterior Surfaces at all Sites: -Replace all deteriorated masonry units; -Replaster and recoat all vertical wall surfaces; -Replace all deteriorated roof tiles and supporting timber work; -Replace all incorrect and deteriorated deck, courtyard and stair materials, and coat as necessary; -Replace remaining incorrect and deteriorated windows and paint surfaces; and -Replace all incorrect and deteriorated doors and shutters, and related hardware and paint all surfaces.</p>
<p>9b. Preservation, Restoration, and Reconstruction: Execute work called for in architectural construction documents. Complete interior restoration to make spaces fully useable for public visitation and interpretation of the structure.</p>	20	0	<p>- museum room renovation/completed at 80% Cape Coast Castle</p>	<p>Interior Restoration and Rehabilitation: -Replace and coat all inappropriate, missing, and deteriorated interior plaster and trim; -Replace and paint all interior inappropriate, missing, and deteriorated doors; -Replace and coat all inappropriate, missing, or deteriorated interior wood and masonry floors and stairs; and -Replace all inappropriate or deteriorated electrical and plumbing systems required for complete use of all interior spaces.</p>

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Major Accomplishments	Tasks Remaining
<p>9c. Preservation, Restoration, and Reconstruction: Execute work called for in architectural construction documents. Complete approaches and landscaping to make them fully useable for public visitation and interpretation of the structure.</p>	5	O	Clearing of additional structures	<p>Approaches and Landscaping: -Vacate areas surrounding and leading to the three sites; -Construct necessary boundary fences and walls; -Prepare necessary roadways leading to the sites; and -Provide necessary landscaping surrounding the three sites.</p>
<p>10. Maintenance and Future Development: Establish an Historic Preservation Trust Fund to provide resources for maintenance.</p>	50	O	Heritage Management Conference held in May 1994; draft site management plan developed	Fully elaborate, revise and formally adopt management plan

3.3 Tourism Promotion, Marketing and Planning

The primary goal of the Tourism Promotion, Marketing and Planning Component (TPMP) is the promotion and development of tourism in the Central Region. The component's principal elements focus on tourism marketing, tourism promotion, and tourism planning. Within these focus areas it aims to achieve eight major objectives (see Table 3.3).

The single most important accomplishment of the component has been the creation of a trained cadre of tourism professionals in government and the private sector. Ghanaian personnel are now prepared to do business with international guests and have strengthened capacity to manage and maintain tourism institutions such as national associations and regional tourism boards. Statisticians in the Ministry of Tourism are also better able to track, predict and strategically plan tourist activities.

The second most important achievement of the component has been the effort to market the Central Region as an international tourism destination. This promotion has been accomplished through familiarization tours, support for local festivals, support for PANAFEST, support for Ghana's hosting of the African Travel Association's yearly convention and the Host Country Day which accompanied the convention. The component has also assisted in the preparing of maps and high-quality brochures to distribute to potential tourists.

The component has also worked with local businesses and with local government in several initiatives to improve facilities and promote expansion of the local tourism sector.

The component has spent \$291,000. Of this amount \$242,000 are AID-financed and represent 27 percent of the \$850,000 originally budgeted to be AID-financed.

Table 3.3

**Tourism Promotion, Marketing and Planning
Progress to Date and Tasks Remaining**

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Accomplishments to Date	Tasks Remaining
1. Assessment of Market Potential: Identify the most promising target markets, their product preferences and project the financial impact of an expanded tourism industry in the Central Region.	100	O	Consultancy carried out, written report submitted	
2. Preparation of a Tourism Marketing Plan: To guide marketing decisions by establishing an information baseline and projected plan of action for the Central Region.	100	O	written tourism marketing plan for the Central Region	

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Accomplishments to Date	Tasks Remaining
<p>3. Training in Marketing and Promotion Methods: Increase the capability of the GTB, DGW, and GMMB in assessing international markets and selecting marketing strategies given budget constraints.</p>	60	O	<p>network of Ghanaians with improved marketing skills and ability to regularly update marketing plans</p> <p>surveys of guests at selected hotels in the Central Region;</p> <p>surveys of visitors to Park and historic sites;</p> <p>surveys of hoteliers in the Region;</p>	<p>continued in-country training (short courses) of local staff as well as field visits to the U.S. and elsewhere</p> <p>Development of National Tourism database</p>
<p>4. "Fam" Tours: Improve awareness of Central Region as a tourist destination by providing first hand experience to a selected group of travel agents, tour operators, and travel writers.</p>	75	O	<p>fam tours conducted for local tour operators and travel agents, social and religious groups, and ATA delegates</p>	<p>fam tours for international travel writers</p>

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Accomplishments to Date	Tasks Remaining
5. Preparation of Promotional Materials for Central Region Tourism: Prepare major promotion tools to sell the Central region as a destination.	70	O	tour packages designed for select groups; publicity brochure of Central Region developed	other specialized publicity brochures and a video to be sent to prospective visitors and organizations identified by the market study continued support for regional festivals
6. Training of Visitor Contact Personnel at Kakum Park and Historic Sites: Improve skills of park and museum staff, village guides, and tourism information in hosting visitors.			short courses developed for training park personnel to host visitors; network of professionals at the Park who can function effectively as the main point of visitor contact	ongoing and continuous training opportunities for Park staff
7. Village Cooperative Guest Lodgings for Park Tourists: Provide some economic incentive for local villagers to provide services and access to Kakum Park.	0	B	Activity shifted to IS component	
8. Interpretive Programming and Displays: Enhance visitor opportunities to learn about forest ecosystem, wildlife, and land use issues at the Park; and historic significance and preservation methodologies at fort and castles.	0	B	Activity shifted to IS component.	

3.4 Interpretive Services

The Interpretive Services Component (IS) is supportive of the other components and plays an integral part in the overall development of the nature park, forts and castles and tourism. Key elements of the component focus on planning and data collection, training, preparation of interpretive materials, and production of interpretive infrastructure. Within these focus areas IS aims to achieve four major objectives (see Table 3.4).

The most important accomplishment of the component has been the provision of the necessary physical infrastructure for the display and dissemination of interpretive information concerning the historic structures and the park. To date, this includes completion of an interpretive facility at the park, near completion of the exhibition for the museum at Cape Coast Castle, and near completion of a fabrication workshop. However, the workshop is much grander than planned and resulted in significant cost overruns. With regard to the provision of infrastructure, the language of the original program description describes the production of infrastructure as "assistance to CEDECOM and TODSCER....." The reality is that the assistance has been provided to Ghana Museum and Monuments Board. A revised programs description should be cognizant of this de facto change.

The second most important accomplishment of the component has been planning and data collection activities. An ad hoc steering group of Ghanaian advisors on cultural/historic presentation was formed and was instrumental in developing a comprehensive report for the provision of interpretive services at the historic structures. This report served as the basis for development of the script for the Cape Coast Castle museum video which is almost completed.

There is still a fair amount of work to be completed in terms of preparation of interpretive materials for the visiting public and scholars. More work also needs to be done in terms of providing training to education staff at the park and historic structures to publicly present and interpret the cultural/historical/ecological aspects of the historic structures and park. To date only a small number of staff at the historic sites, and no staff at the park, have received such training under this component. Also, the museum at Elmina needs to be completed.

The component has spent a total of \$538,000. Of this total, \$461,00 is AID-financed. This \$461,000 represents 65 percent of the AID funds originally budgeted for the component.

Table 3.4
Interpretive Services
Progress to Date and Tasks Remaining

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Accomplishments to Date	Tasks Remaining
<p>1. Planning and Data Collection: Initiate a process of cultural negotiation with selected Ghanaian scholars/experts concerning ways to interpret the country's human, cultural, and historic resources; and conduct research on cultural resources available for interpretation</p>	80	O	<p>constitution of an ad hoc steering group of Ghanaian advisors on cultural/historic presentation;</p> <p>written plan/report for the provision of interpretive services at the Park and historic sites; report used as basis for development of video script for the museum at Cape Coast;</p> <p>archival and oral history research conducted regarding types of cultural resources available for participation in the interpretive process</p>	on going research
<p>2. Training: Provide training opportunities to potential and actual museum and monument personnel and technical staff to allow them to provide interpretive services at the Fort and Castles and at the Park.</p>	10	B	<p>a cadre of Ghanaian technical personnel trained to publicly present and interpret the cultural/historical/ecological aspects of the Park, historic sites and surrounding communities</p>	<p>training of docents for historic structures</p> <p>training of park staff</p>

Objectives from Original Program Description	% of Work Completed to Date	Timeliness	Accomplishments to Date	Tasks Remaining
<p>3. Preparation of Interpretive Materials: Create a battery of technical interpretive documents for the visiting public and for scholars explaining the Park and historic sites.</p>	50	B	<p>photo blow-ups for the park</p> <p>Cape Coast video 80% completed</p>	<p>development of four interpretive brochures, in color, with photos and in various languages;</p> <p>numerous monographs concerning flora and fauna of the Park and historical, cultural and technical aspects of historic sites</p>
<p>4. Production of Interpretive Infrastructure: Assist CEDECOM and TODSCER in providing the necessary physical infrastructure for the display and dissemination of interpretive information concerning the Park and historic sites.</p>	50	O	<p>interpretive facility at Park 100% completed;</p> <p>Fabrication Workshop 90% completed</p> <p>Cape Coast Castle museum 80% completed</p>	<p>appropriate standing and travelling exhibitions on the history of the region, including the West African slave trade</p> <p>complete work on fabrication workshop</p> <p>wildlife conservation education program for interpretive facility at the Park</p> <p>Elmina museum to complete</p>

3.5 Project Management

MUCIA, located in Columbus, Ohio, is the prime contractor for the NRCHP Project. Project management is carried out by a Project Coordinator, a Resident Advisor, and a Financial Administrator.

The Project Coordinator is based in Wisconsin and travels to Columbus, Ohio, Ghana and Washington, D.C., as necessary. Since the inception of the project, he has been on a one-third time contract with MUCIA with three months per year being charged to the project and MUCIA donating a fourth. The Coordinator's responsibilities involve overall planning, coordination of project activities, and monitoring and supervising general project implementation. Tasks include:

- Coordination of the four project components through liaison with the four project sub-contractors;
- Liaison with USAID in Washington, D.C. and Ghana;
- Coordination and consultation with GOG agencies and offices;
- Preparation and submission of annual project work plans;
- Preparation and submission of quarterly progress reports;
- Support the Resident Project Advisor in decision making and overall project management; and
- Oversee the development of the two trust funds.

The Resident Advisor, who is based full-time in Cape Coast, is responsible for day-to-day supervision of project activities in Ghana. He serves as field liaison for the Project Coordinator and consortium members, and acts as the project's representative to the CEDECOM Executive Coordinating Committee. He reports directly to the Project Coordinator. His specific tasks are to:

- Provide MUCIA consortium members all necessary logistical support in Ghana for their activities;
- Work with the MUCIA Financial Manager to assure all necessary procedures are properly put in place and efficiently procure and maintain project materials, equipment, and other items purchased in local currency;
- Serve as the communications link between team members in the U.S. with counterparts in Ghana to assure effective working relationships;

- Establish a collaborative relationship with the CEDECOM Executive Director and TODSCER Coordinator to avoid duplication of efforts;
- Coordinate MUCIA project activities with other governmental, private sector, and NGO organizations;
- Prepare quarterly progress reports for the Project Coordinator; and
- Participate in meetings of the Project Steering Committee, the MUCIA Coordinating Team meetings in Ghana, and the CEDECOM Executive Coordinating Committee when appropriate.

The Project Financial Administrator, based in Columbus, is assigned to the project on a 20 percent basis. His major responsibilities are project financial management, accounting, contracting, and administration.

The management of the NRCHP Project has evolved considerably since it was originally designed in 1990. The original Project Document proposed a 'bare bones' management structure which included a Project Coordinator who would visit the Project approximately four times per year to act as liaison between the Project Consortium members and CEDECOM, TODSCER, and the line agencies of the GOG with which the Project would be working (GTB, DGW, and GMMB). The monitoring of Project progress was also to have been an important task of the Project Coordinator. Additionally, the Project Coordinator was to have been supported by a quarter time administrative assistant and a quarter time secretary. These three people were to have been housed at the office of International Agricultural Programs of the College of Agriculture and Life Sciences at the University of Wisconsin-Madison where the Project Coordinator was then located.

At the Project Component/Sub-grantee level, each component was to have been managed by a representative from each of the four sub-grantees; Conservation International, the U.S. Committee of the International Council on Monuments and Sites, the Tourism Center at the University of Minnesota, and the Smithsonian Institution. Together, these representatives, plus the Project Coordinator formed the Project Consortium Steering Committee for the overall purpose of Project planning, monitoring, and the provision of technical assistance.

Over the past approximately two and one-half years many changes have occurred in the above described management structure. First and foremost of these was the creation of the Resident Advisor's position in August of 1992 to monitor

the day to day implementation of the Project. This resulted from a joint decision between MUCIA and the Mission that the Project Coordinator's quarterly visits to the Project would not be sufficient to properly implement the Project in an efficient and timely manner. It was also decided at that time to physically locate the Resident Advisor within CEDECOM and to contract with CEDECOM for the provision of accounting, administrative, and logistical services to support the Project. At this time, CEDECOM staff were also included in the expense approval and check signing process for Project-related expenditures.

Additionally, other changes of lesser impact, but none-the-less important to the efficiency of Project implementation, also occurred. One of these was moving the US-based Project management function from the University of Wisconsin to the MUCIA Executive Offices on the campus of the Ohio State University in Columbus, Ohio. This move was based on the concept of minimizing the number of layers of management, administration, and oversight by having the MUCIA Executive Office, through the Project Coordinator, be directly responsible for Project management. Another change involved the withdrawal of US/ICOMOS as the sub-grantee responsible for the Historic Preservation component for financial reasons. Since April, 1994, and until a suitable replacement for US/ICOMOS can be found, MUCIA has taken over the management and supervision of this component through a consulting agreement directly with Dr. Anthony Hyland, Preservation Architect, who had been the technical advisor to US/ICOMOS since the inception of the Project.

The original Project Grant Agreement was signed in August, 1991 with the Project implementation period covering five years, or until the end of August, 1996. Nevertheless, the implementation of Project activities did not begin until April 1992. The initial eight month period (8/91-3/92) was spent by the Debt management Unit of the Ministry of Finance and Economic Planning (MFEP), the Debt for Development Foundation (DDF), and MUCIA in attempting to identify, first, debt swap opportunities which would result in a significant leveraging of Project funds and, then secondly, cases of 'blocked' local currency which could be purchased at a discount, also in an attempt to leverage Project resources. As a result of this, for planning purposes, the Project Consortium has considered April 1992 through March 1997 to be the actual life of the Project. If the PACD remains as was originally established in the Grant Agreement, project implementation for most of the components will be curtailed by approximately eight months.

The last change of note involved the direct relationship between day-to-day Project management and CEDECOM which has been altered in a two-stage process. CEDECOM being a quasi-

governmental organization is obliged to follow specific GOG regulations involving the approval of expenditures, the awarding of contracts, and the management of personnel. For the first year of implementation Project management attempted to work within the confines of these rules and procedures. Nevertheless, at the second annual Work Plan exercise in March 1993, Project Management, the Project Consortium members, and the Mission all agreed that progress to date had been extremely slow which had led to frustration on the part of all those involved. A decision was made by the Project Steering Committee at that time to alter the relationship with CEDECOM, especially as it related to the approval of Project authorized expenditures. As a result, much of the expenditure approval authority was transferred from CEDECOM to Project management, principally the Project Resident Advisor. While this decision greatly accelerated implementation of activities, working relations with CEDECOM deteriorated considerably. Therefore, it was ultimately decided in March of 1994 that MUCIA Project management should sever its direct relationship with CEDECOM, contracting directly for the support services which until then had been provided, and physically moving out of CEDECOM and establishing its own Project management offices. This, however, does not include a severing of programmatic or technical ties since these were deemed to still be necessary to avoid duplication of efforts and inefficiencies in the implementation of the CERIDEP program.

To date, the management component has spent \$755,600. Of this total, \$560,400 are AID funds. This \$560,000 represents 63 percent of the AID-financed budget for the component. This percentage is quite high given the time remaining in the project and is chiefly attributable to the fact that project management hired a full-time resident manager for which no budgetary provision had originally been made.

3.6 Project Expenditures to Date

The total amount of project expenditures through March 1994 (the most currently available budget figures when the evaluation was conducted) was \$2.193 million (source: MUCIA, "Summary of Ghana Ledgers, March 31, 1994"). A description of expenditures for each of the five components is found in Table 3.6.

The table consists of six columns. The first two columns show the amount of AID-financed expenditures in the component through March, 1994. The first column shows dollar expenditures for costs incurred outside of Ghana. The second column shows the dollar amount of expenditure in Ghana. The third column shows the additional expenditures which can be attributed to the block currency donation. The fourth column is the total of the first three and represents total

expenditures per component. The fifth column shows the amount budgeted in the original project description to be financed by AID. The sixth column depicts the percentage of that original AID-financed budget which has been spent (columns 1 and 2 divided by column 5).

The last column reveals that both the Interpretive Services component and the Project Management component have spent a disproportionately high amount of their budgets. Marketing and Promotion has spent the least in percentage terms, but this is to be expected given the "go slow" strategy being pursued by that component.

Table 3.6
Expenditures by Component through March 1994

All Figures \$US000's Component	AID Financed		Attributable to currency swap*	Total Exp. in \$US	Original AID Financed Budget	AID Financed Expenditures as % of Original AID Financed budget
	\$US	Cedis in \$US				
	NR	423.29				
IS	337.56	123.29	77.71	538.56	706	65.28
HP	31.88	294.96	186.04	512.89	1132	28.88
M&P	138.51	93.86	59.14	291.50	850	27.34
PH	251.00	309.44	195.16	755.60	820	63.34
Total	1182.32	1012.24	637.36	2831.92	5355	
AID Financed:		2194.56**				

*Currency swap funds are not actually accounted for separately from other cedi expenditures.

**Approximate due to rounding and disaggregation of currency swap figures.

Sources:

1. MUCIA/Ghana Natural Resource Conservation and Historic Preservation Project, April, 1994, "Foreign Currency Status, Inception through March 31, 1994/unaudited." and
2. MUCIA, "Summary of Ghana Ledgers, March 31, 1994."

**CHAPTER 4:
MAJOR QUALITATIVE FINDINGS RELATED TO
PROJECT MANAGEMENT, INSTITUTIONAL ARRANGEMENTS, AND
OVERALL PROJECT IMPLEMENTATION**

Included in this chapter are the major qualitative findings of the study related to issues of project implementation, institutional arrangements between MUCIA, sub-grantees and GOG counterparts, and MUCIA project management. Findings are based on structured interviews with the five key respondent groups as described in Chapter 2.

4.1 Project Implementation

Project implementation overall can be characterized as efficient and effective. Although there was a significant delay in project start-up related to efforts to leverage funds through a debt for development swap, implementation of most project activities since then has progressed in a timely fashion.

Generally, respondents are satisfied with the activities already programmed and do not feel a need for any new ones. A need was expressed, however, for increasing the level of public relations and fund raising activities in the future to enhance the project's ability to achieve program goals.

4.1.1 Problems in Achieving Program Goals

Four major problem areas were identified by respondents in achieving program goals. These were: (1) poor communication, (2) weak counterpart institutions, (3) the MUCIA/CEDECOM financial arrangement, and (4) leadership and policy changes within USAID and CEDECOM.

The problem considered most critical by the majority of respondents is poor communication among all parties (both in the U.S. and between the U.S. and Ghana). Poor communication between sub-grantees and Ghana is due primarily to the lack of telecommunications infrastructure in Ghana. It is often impossible to make calls between Cape Coast and the U.S. and between the U.S. and Cape Coast is virtually impossible. Even calls to Accra are problematic. However, the lack of a "communication process," i.e., willingness to call and/or having regularly scheduled calling times, is also a contributing factor. Poor communication between sub-grantees is related to a lack of regularly scheduled meetings in the U.S. and infrequent telephone contact. Some of the results of poor communication have been misunderstandings between participants about what activities should or should not be

completed; uninformed decision making, unnecessary stops and starts, and a general slow down of project activities.

A second major problem identified in carrying out project activities is weak counterpart institutions in terms of quality and quantity of human resources. Because of a lack of funding, there is a shortage of staff, and many of those who are employed lack the training necessary for effectively carrying out the tasks required under the project. Additionally, staff morale is poor because of low salaries and other GOG employment policies.

Another major impact is low work motivation on the part of counterpart staff. This has manifested itself in a slowing down of activities, and putting off completing programmed activities until just before the arrival of sub-grantees. Also, some activities that were completed had to be done over because of poor quality. A major implication of this problem for the future is brain drain; already some of those trained under the project are talking about leaving for higher salaries elsewhere.

The MUCIA/CEDECOM financial arrangement was reported to be bureaucratic and inefficient, leading to wasted staff time and energy trying to get signatures for purchase orders and delays in financial reporting. Park staff, particularly, reported never knowing how much money they had in their account. (See Chapter 6 for a more in-depth discussion of the MUCIA/CEDECOM financial arrangement.)

Another major problem in achieving program goals, particularly for MUCIA, has been leadership/policy changes in CEDECOM. Most problematic has been the termination of the original incumbents/consultants working on the UNDP-funded CERIDEP project. These incumbents were instrumental in providing the necessary leadership within CEDECOM to ensure that services needed under the project were provided in an effective manner. Another problem has been the turnover of Regional Secretaries (four since project inception), each one affecting CEDECOM policies towards the project.

Changes within USAID/Ghana have also been a problem. Since the signing of the grant, the project has operated under three Directors and three project officers (possibly to be four). These leadership changes have resulted in policy changes regarding the degree of Mission involvement in project oversight and the size and nature of the endowments.

4.1.2 Strategies

Several strategies were identified as being particularly effective in achieving program goals. Overall, counterparts

found training (in-country and overseas) to be the most effective. With so few resources available in their own agencies, they appreciated the training provided under the project to learn new skills and expand their professional horizons. Many reported that the training helped compensate (albeit not sufficiently) for their low salaries. Respondents also reported more training should be provided for staff, particularly management training for senior staff.

For the consortium members, taking control/taking initiative rather than employing normally well-accepted institution building methodology to get things done was the most frequently cited as the most effective strategy for achieving program goals. For many, this was believed to be the only way they could break through bottlenecks in order to get things done. Focusing on results was also an important component of this strategy, particularly for MUCIA management.

Some strategies were identified as being ineffective in achieving project goals. According to consortium members, one of the least effective was trying to work through established channels to achieve results. This applied to sub-grantees who tried to go through normal channels with MUCIA management and to MUCIA management's attempts to work through normal channels with CEDECOM. Consortium members also felt that efforts to enhance collaboration/communication between the Museum and Monuments divisions had been ineffective.

Counterparts, particularly at the park, complained about the strategy of using expatriates for carrying out the research program. In addition to being expensive, it does not take advantage of in-country and/or in-region expertise that could increase the relevance of the research being done. Another strategy thought to be ineffective was docent training. It was reported that it wouldn't "work" in the current Ghanaian context due to peoples' attitudes toward the historic structures, volunteer work, and rewards/status from participating in such a program.

Both consortium members and counterparts cited local public relations/public education activities and community development programs as being generally ineffective.

4.2 Institutional Arrangements between MUCIA and Counterparts

MUCIA's arrangements with counterparts are good. Many counterparts at the national level, though, are not generally aware of the exact nature of the MUCIA management structure. MUCIA is also working with the right/appropriate GOG agencies to achieve its program goals, however a need was expressed by management to increase links with NGOs.

At the national level, relationships consist primarily of brief, official visits to counterparts' offices. A need was expressed on both sides for more interaction and communication. MUCIA's relationships at the regional level are stronger than at the national level, but often more problematic, particularly with GMMB as a result of internal problems between Monuments and Museums divisions, and with CEDECOM.

According to the majority of respondents, MUCIA's relationship with CEDECOM, which used to be good, is no longer effective at the program level. There are very few shared activities between the two other than financial management/reporting, and the Executive Secretary does not participate in project planning activities.

MUCIA is working particularly well with the private sector. Activities have included contacts with Central Region hoteliers and other private tourist associations to interest them in project activities. Additionally, considerable effort has gone into attracting private investment in building hotels and other tourist infrastructure in the Region.

4.3 Institutional Arrangements between Sub-Grantees and Counterparts

Sub-grantees have generally good relationships with GOG counterparts at the national level, although contact is limited. Counterparts expressed a desire for more interaction. Sub-grantees have also established good relationships with GOG counterparts at the regional level, although there has been some periodic strife with GMMB resulting from differences between Monuments and Museums divisions.

Counterparts complained that sub-grantees do not spend enough time in Ghana. The result has often been hasty decision making during the sub-grantees' visits, including developing budgets without the necessary information, leading to later difficulties in carrying out project activities.

4.4 MUCIA Management Structure

The most frequently mentioned strengths of the MUCIA management structure focused on its effectiveness in working with USAID, its ability to obtain additional funds for project activities, good financial management from the Columbus Office, and having a full-time resident advisor. These are discussed in more depth below.

A major factor underlying management's effectiveness with USAID is the Project Coordinator. He has extensive experience

working with USAID on other projects, and as a result, is familiar with USAID terminology, budget procedures, and reporting formats. Because of his experience, he has been able to easily adjust to policy changes within the Mission that have an impact on the project.

Management has also been successful in obtaining additional funds for project activities. This has included increasing the size of the original USAID grant from \$1.2 million to \$5.6 million and obtaining a \$750,000 donation from Shell Oil through a blocked currency transaction. An additional sum of approximately \$150,000 was obtained from the Mission to fund specific tourism marketing/promotion activities.

Consortium members praised the financial management provided through the Columbus office. They have appreciated the open communication with the financial administrator and his timely financial reporting.

Finally, having a full-time Resident Advisor was considered a major strength by all interviewees.

Probably the major weakness of the management structure has been its inability to foster a sense of partnership/teamwork with sub-grantees. There was a feeling among several consortium members that management, particularly the Resident Advisor, was more interested in monitoring Ghanaian politics and its effects on the project than monitoring/facilitating implementation of consortium members' activities.

Another weakness identified is ineffective communication between management (especially the Resident Advisor and Project Coordinator) and the sub-grantees. Female members, in particular, reported often feeling excluded from the communication process. While part of the communication problem is due to the lack of telecommunications infrastructure in Ghana, there was a feeling among some consortium members that management doesn't want open communication.

Infrequent meetings between sub-grantees and the Project Coordinator have hindered communication and team building. All members travel heavily. As a result, it is difficult to communicate and/or hold regularly scheduled group meetings on a regular basis. When members do come together as a group, it is more often to solve an immediate problem, rather than spend time sharing information/reflecting about the project.

Lastly, the management structure lacks clear definition of roles and responsibilities (Project Coordinator vis a vis Resident Project Advisor, and Resident Project Advisor vis a vis sub-grantees). Consortium members complained of not

knowing who is in charge, the Resident Advisor or the Project Coordinator. There were questions about the redundancy of the Coordinator's position.

CHAPTER 5: MAJOR TECHNICAL FINDINGS

This chapter presents the major technical findings of the study based on assessments made by the engineering and environmental specialists on the team. Findings are presented below, organized according to the areas of: Castles and Fort, Fabrication Workshop, and Kakum National Park. Complete copies of the engineering and environmental assessment reports are found in Annexes 5 and 6 respectively.

5.1 Castles and Fort

The engineering assessment, which focused on construction activities, determined that work completed to date on the historic structures is of good quality and that the team in charge of supervising the work (Conservator of Monuments and two inspectors) is technically competent. Generally, activities are carried out on a day-labor basis, but in some instances have been contracted out, for example the renovation of windows. Considerable work has been done on the basic stabilization of the historic structures, but much still remains to be done.

While workmanship is good, supervisors are technically competent, and considerable work has been done related to basic stabilization, productivity is low at all levels. The major reasons why are described below.

There is a lack of adequate organization and management. There is no scope of work that outlines activities to be completed or describes the end use of rooms and spaces within the historic structures. It is also not clear who is in charge of making decisions regarding the quantities of construction materials purchased for the project. Several deliveries have been made in the name of the Conservator of Monuments in charge of the project without his knowledge. Also, dissemination of information among all parties is poor.

The work that is carried out is not monitored sufficiently. Strict supervision is particularly important for direct labor, but appears to be largely absent. Contributing to the lack of supervision is the fact that the two supervisors are responsible for covering both the Western and Central Regions, and are thus unable to monitor the work at the sites as frequently as they would like or is needed.

Insufficient numbers of artisans are employed for the task. It was learned that availability of specialized artisans on the market is becoming a problem. Additionally, there is a

lack of logistic support for workers and supervisors (transport, office supplies and equipment). For example, there is only one set of scaffolding to carry out the two major activities of wall rendering and lime washing.

There is serious confusion about the definitions of basic stabilization, rehabilitation, and restoration. As such, a clear concept of construction requirements for basic stabilization of historic structures does not exist. Because of the confusion, as well as continued indecision over the end-use of rooms and spaces within the historic structures, cost estimates have remained vague and cost control does not exist (previous estimates of basic stabilization include considerable amounts for internal restoration). As a consequence, overall conceptualization and preplanning of all construction activities are seriously lacking on the part of all responsible parties - MUCIA, the architects, and the Government of Ghana (GOG) officials.

Work motivation is low, primarily because salaries are low. As a result, overtime work is necessary to meet deadlines. However, a misuse of regular time by workers, leading to the need for overtime, was also reported.

There are no working drawings of Elmina. Lack of the drawings inhibits efficient planning and coordination of construction activities.

Finally, USAID's hands-off policy toward the project (funded as a grant) has resulted in a general lack of adequate supervision/monitoring and record-keeping, especially as they relate to construction-related data and contracting procedures.

The environmental assessment of the fort and castles identified two environmental problems. It determined that human waste management is a major issue at the sites. At the Elmina Castle the toilet pit is full. Also, the project may cause increased population concentration in the area, increasing pressure and stress on natural resources and ecosystems. However, the timber used for renovation of the sites, purchased on the regular timber market, does not generate any extra pressure on the nearby forests.

5.2 Fabrication Workshop

Construction of the fabrication workshop has suffered from several major problems resulting in additional work having to be done and significant cost overruns. Problems are related to poor communication and lack of organization and supervision on the part of all parties--Smithsonian, MUCIA, CEDECOM engineer/architect, and GMMB.

During initial budget development by the sub-grantee, no survey of actual needs was made, and the local counterpart was not consulted. It appears as though the original budget was meant to provide a modest space for hand-work and crafts, but evolved into a large fabrication workshop. At the bidding stage (when confidential estimates were available) and at the openings of bids (when bid amounts were known), people reacted strongly to the much higher costs than originally budgeted. However, a decision was made by MUCIA to accept the higher bid. It was felt that any delay would further increase the price (cement prices were scheduled to go up), and because the fabrication work absolutely needed to get done for the scheduled opening date of the museum.

The assessment team found that the contract drawings developed by the engineer/architect did not have a site plan. This, combined with the fact that there was a general lack of attention to details at the design stage (by the architect/engineer), resulted in additional work having to be done and increased costs. Specific examples of inattention to details are described below.

Demolition of a major existing structure on the site was not foreseen during design stage. Also, a septic tank and a soak-away pit had to be built because the engineer/architect did not notice the absence of a public sewer system. Finally, during the design stage the site was not foreseen as a flood plain, thus requiring costly foundation work.

Apart from the many problems identified above, actual contractor performance was assessed by the engineers to be satisfactory, with work to be completed by the end of June 1994.

Environmental assessment determined that the workshop is not well located. Because the water table is very close to the surface, there is a risk of potential pollution from chemical spills.

5.3 Kakum National Park

The engineering assessment at Kakum National Park focused primarily on existing and proposed infrastructure development in the Park. The issue of master management plans for the forest and buffer zone was also examined.

It was learned that the existing park headquarters/visitor center was originally designed to be temporary, and that a permanent headquarters/visitor center was envisioned for a different site at a later date. Evaluators determined that the "temporary" structures were, in fact, constructed to last permanently, and that the existing "temporary" headquarters is

a much better structure than most headquarters in other national parks in West Africa.

In terms of the proposed "permanent" headquarters, assessment revealed that the structures are still in the conceptual stage, and that modules/construction units that can be handled within the means of the project at this time are not identifiable. Site topographical survey work still remains to be done. Additionally, it appears that the consulting architectural firm hired through the NRC component is working on a grand scheme without any knowledge of actual budget constraints.

Construction of the existing park headquarters/visitor center was completed by the same contractor who did the work on the fabrication workshop. Contractor performance was assessed as quite satisfactory by the assessment team, and the contracted project was completed ahead of schedule.

While the initial contract was implemented satisfactorily, there were problems in implementing additional construction activities. Specifically, the contractor was asked to complete additional work, but the decision to do so was made after the contractor had already demobilized. Then, due to disagreements between project participants, the contractor was asked to stop the additional construction activity at an unfinished stage. As a result, putting a sealing coat on the approaches and parking lot, slope stabilization of embankment and side drainage structures remain to be done. Construction of the approaches and parking is also poor, and two newly installed water tanks are not operational because of the absence of roof gutters. In one case, the top of the water tank is higher than the roof edge, making it impossible to collect rain water.

The proposal to build a canopy walkway is still in the conceptual stage. The engineers found the idea to be sound and the construction well planned. They determined, however, that the proposed length of the walkway was insufficient because it would have low capacity in terms of number of persons who could cross per hour. Ghanaians will be trained to construct the walkway.

Both the engineering and environmental assessments determined that staff accommodation is critical to any sustainability of proper park operation and management. It was determined that existing staff accommodations (i.e., rooms/houses in the surrounding villages) are inadequate and are a major factor contributing to low staff morale. They also determined that overall forest management plans and buffer zone development plans are critical to Park sustainability, but that they do not currently exist.

The environmental assessment identified the lack of a buffer zone between the Park and surrounding communities and continued cutting down of some trees by locals as two major environmental problems. Agriculture has already occupied all the area that should be dedicated to the buffer zone, and there is even some encroachment by agriculture that was authorized by the Forest Services before the protected area was turned into a park and put under the G&W Department. Without a buffer zone, elephants raid adjacent fields. This situation may negatively affect farmers' collaboration in park management. The immediate impact of continued timber logging around the park is that logging opens up areas up to agriculture, making conflicts with animals (elephants) more probable.

CHAPTER 6: MAJOR FINANCIAL FINDINGS

This chapter describes the major findings of the study related to the project's financial system--the overall flow of funds as well as the system for funds to be spent in Ghana.

6.1 Overall Financial System/Flow of Funds

At the broadest level, the financial systems implemented in the Natural Resource Conservation and Historic Preservation Project function well. AID funds are drawn by MUCIA on a letter of credit and transferred to MUCIA's account in Columbus. MUCIA's accounting staff in Columbus manages these funds and has ultimate oversight responsibility for all project funds, both in the U.S. and Ghana. This section will briefly describe the flow of funds and the financial management of the project so that suggestions for its improvement can be more easily understood.

The salient feature of the financial management structure is the bifurcation between management of funds converted to cedis and funds spent in the U.S. The U.S. dollar expenditures are managed by the subgrantees themselves, with periodic submission of expenses to MUCIA's Columbus office for reimbursement. Project management costs, allowances and other direct and indirect costs are all paid by MUCIA. Subgrantees' donations to the project are all indicated as non-federal expenses on project ledgers. As noted in Chapter 4, the project incurred federal expenses (AID money) of \$2.193 million through March 31, 1994.

Funds to be spent in Ghana are requested by the Resident Advisor via fax to the Columbus office. The request is accompanied by an accounting statement showing cedi expenditures by the project, remaining balance and budget for the period for which the additional funds are being requested. Funds are then transferred by wire transfer to the Standard Charter Bank of Ghana in Accra and then to the project's savings account in Cape Coast at the National Investment Bank. The project also holds a fixed deposit call account at the same bank (25,000,000 cedis at 24%, from interest on the blocked currency exchange). These procedures are described as functioning smoothly by all involved. Transfers to Ghana are now occurring on a monthly basis.

Funds in Ghana are managed by the Resident Advisor and the CEDECOM senior accountant, with assistance from the CEDECOM accounting staff. The project management disperses on a

system of requests from the component heads, based on annual workplans. The established procedure to be followed for disbursements is that 1) Requests signed by counterpart component heads are made on a standard cover sheet which is presented to the CEDECOM financial controller's office, where the arithmetic accuracy of the request is checked, 2) the request is approved by the Resident Advisor (or the TODSCER coordinator if the Resident Advisor is absent) to assure the availability of funds, and 4) a check is written by the CEDECOM accountant and signed by both the accountant and the Resident Advisor. This is the system for most disbursements. In the case of purchases, the request must be accompanied by three (3) proforma invoices. In the case of purchases or contracts in excess of 20,000,000 cedis, the project management must convene a tender board to review at least three bids. Both the Historic Preservation component and the Natural Resources component maintain their own imprest accounts of one million cedis. The Natural Resources Component also maintains a separate dollar account with funds transferred directly from Conservation International to maintain their resident advisor and to ease their perceived problems of slowness in the existing system.

6.2 Financial System for Funds Spent in Ghana

This section describes the financial system for funds to be spent in Ghana. Specifically, information is presented about the accounting and oversight of those funds, budget development, and problems with the system.

6.2.1 Accounting and Oversight

Accounting is handled through the CEDECOM accounting office. The project pays the salary for the CEDECOM senior accountant, on whom rests responsibility for all of the project's accounting functions, as well as CEDECOM's other projects. The senior accountant is in theory overseen by the CEDECOM financial controller, although since October, 1993, when this position was vacated, there has been a vacuum in this position. A process of selection of a new financial controller is underway, and the role is expected to be filled again by the end of June. The senior accountant is also monitored by the MUCIA accountant, who visits twice yearly. An audit is carried out annually.

The senior accountant oversees a junior accountant and a national service assistant, who together also comprise the purchasing committee for the project. It is the responsibility of the purchasing committee to carry out purchases and make arrangements for acquisitions of goods by the project for acquisition of goods below 20,000,000 cedis.

The project maintains a set of books consisting of a cash book, a general ledger, an advances ledger and a fixed assets register. The general ledger is electronic and runs on a customized program developed by CEDECOM programmers. Disbursement reports are to be prepared by the accounting office on a monthly basis and disbursed to the Resident Advisor and the heads of each component in their respective agencies.

6.2.2 Budget Development

The budget development process is another area where the financial system can be improved. Cost overruns, especially in new construction, have been consistent and large. Subgrantees and counterparts both need to be better prepared for developing the workplans, since the budget is generated from the workplans. The system would work better if each activity's anticipated cost were documented on the basis of 1) past expenditures, 2) invoices or written estimates or 3) documented experience from other projects or other commercial transactions. This documentation would provide the basis for all new budgets.

6.2.3 Problems with the System

Both subgrantees and counterparts identified two major themes as problems with the management of project funds to be spent in Ghana. The first is the lack of control over their own budgets, because control finally rests with project management, and second slowness and lack of responsiveness in the provision of financial services. A third problem, particularly associated with the Natural Resources Conservation component, is that questions have been raised about overspending and spending on non-requested items. The evaluation team examined each of these problems and this section describes each of them. It then makes recommendations to solve these problems.

The question of control of the project funds has several sides. The management structure in place was set up to ensure accountability and oversight of component expenditures. MUCIA management and CEDECOM accountants have a look at every proposed expenditure before it is made. Subgrantees, however, argue that they are not in control of their own budgets, and that MUCIA management does not adequately represent them in controlling costs. The criticism is raised that MUCIA management handles disbursements according to priorities which may appear to favor one component over another. The complaints are exacerbated by the second complaint, that disbursements are not timely and that the approval process is often slow. In the case of the NRC Component especially, both

disbursements and reporting were described as being very difficult to obtain.

Furthermore, the existence of budget overruns has made subgrantees fear that their budgets will be diminished due to overspending in other components of the project. The current system is entirely appropriate for the conditions prevailing when the project began. At the time the park had no office and no accounting staff and essentially existed in name only. Work had not been regularized in any of the other components; budgeting and cost estimating were unclear and working procedures had yet to be established.

Conditions are different now. The park has office and computer facilities, as well as an accountant on staff. Both GMMB and GTB have financial management capacity. The justification for strict centralization of funds is no longer as strong as it was at the project's inception. Indeed, the step of creating imprest accounts taken late last year for both the park and the monuments, indicates that project management believes in the ability of the subcomponents to handle funds effectively. Given the subgrantees' concern over spending and provision of services, it is the judgement of the evaluation team that greater financial autonomy can be given to the components within a strict monitoring framework provided by MUCIA management.

A possible alternative to the current system would be to expand the imprest accounts to cover all components and to augment the amounts of these accounts to approximately one month's expenditures. Procedurally, each subcomponent head would make a request for a month's worth of expenditures, accompanied by the submission of receipts from the previous month and a budget for the month in question, taken from the workplan. It would be the responsibility of the Resident Advisor and the project accounting staff to review the previous month's expenditure's (each receipt should bear the workplan line item code), and the next month's budget. The monthly budget could be drawn directly from the 18-month workplan. In practice, this would amount to disbursing from about \$1,000 to \$30,000 per month according to the overall scope of each component. Any component which failed to properly account for funds from a monthly disbursement, or which failed to submit monthly budgets which accurately reflected needs, would automatically revert back to the current structure, according to the judgement of the Resident Advisor.

It was also evident to the evaluation team that the accounting function of the project warrants full-time attention by a professional accountant who reports directly and exclusively to MUCIA project management. One alternative to ensure this

attention would be for the project to hire a full-time staff accountant to ensure careful oversight and timely reporting of project expenditures. Another option would be to contract with an outside accountant or accounting firm, but this is not easily accomplished in Cape Coast and might also result in even more severe coordination problems.

It should be noted that the annual audit, performed in October, 1993, found no evidence of material mismanagement, although it contained several recommendations for improving accounting practices. Nevertheless, questions of possible overspending and mismanagement associated with the Natural Resources Conservation Component are contained in a memo written by Conservation International's program coordinator and dated February 13, 1994. In it ten (10) separate payments are discussed, detailing payments made for items which could not be found, or payments which seemed overly large for the goods and services provided. Verification of the invoices in question revealed some charges which were inordinant for the service performed. The dollar amounts, however, were quite small. It seems clear there is a gap between the procurement of goods and services, and their monitoring, which may create the circumstances for abuse. This is a further reason why component monitoring of their own expenses is recommended.

**CHAPTER 7:
MAJOR FINDINGS RELATED TO ENDOWMENTS**

This chapter provides findings related to endowments, specifically: the need for endowments in terms of financial and physical sustainability; issues related to the establishment, management and oversight of endowments; a description of work to date related to endowments; and the purposes of endowments. It also presents three funding scenarios.

7.1 Need for Endowments: Financial and Physical Sustainability

Endowments for the maintenance of the monuments and the park are included in the initial project description under the item "Maintenance Trust Fund." The description reads as follows:

Objective: To provide for the long term protection and maintenance of the historic sites.

Methodology: To create a Trust Fund with a portion of the proceeds from the blocked currency transaction to be used as seed capital. The existence of this fund will serve to stimulate other donations from interested individuals and groups. Funds would be invested in local currency at the highest interest rate providing maximum security from loss of value.

Product: An established fund providing for the future financial needs of the historic sites.

Supervision: Trustees of the fund and MUCIA Project Coordinator.

Estimated Cost: \$250,000, all in local currency.

As was pointed out in Chapter 3, the budgeted seed capital now seems low given a more realistic assessment of the yearly maintenance costs of the sites and the uncertainty associated with the solicitation of donations. The justification for the endowments is, however, more clear than ever. Indeed, the recent Management Conference on the use of the historic sites strongly endorsed the immediate creation of a trust for the sites. Both subgrantee heads and senior counterparts were unanimous in their perception that the Trusts are a necessary and important feature of the sustainability of project accomplishments.

This is true because there is no clear commitment from the GOG to pay for maintenance of the historic sites or for the operating and recurring expenses of the park. The evaluation team detected no new commitment on this issue from department officials in GMMB and G&W. Furthermore, expected revenues from admissions, concessions and other fees are not sufficient to cover expected expenses, much less carry out further programs of restoration, interpretation, research or community development (see worksheets, below). The rationale for the endowments thus remains strong.

The need for a significant initial endowment is underscored by the fact that the project has been slow to move on the creation of the trusts, addressing implementation, fundraising and management for the first time in the fall of 1993 with the consultancy of Jonathan Shatz. Subsequently additional preparations have been undertaken.

The next sections of this chapter will address the purposes and use of the endowments, comment on their creation and management in light of USAID draft guidelines, and review the work done by the project to date on the establishment of the funds from legal, financial and operational perspectives. Drawing on other trust experiences, perceptions of project personnel and government officials, and revisitation of cost, revenue and financial scenarios, the chapter concludes with a discussion of new project activities which will be necessary to bring the trusts into operation and minimum amounts of initial endowment necessary to ensure minimum sufficient revenue.

7.2 Establishment, Management and Oversight of Endowments

There are a number of issues in the establishment, management and oversight of endowments, including AID guidelines, which the project will have to address before its completion. These activities cover an area in which AID is a relative newcomer, and considerable attention and energy will need to be given by the project to these new activities.

All parties concerned in setting up the Funds should be made aware of the fact that the USAID policy on establishing endowments is still unclear. Although the draft guidelines are available, several issues have yet to be definitively resolved, especially:

- Fiduciary Responsibility over Tax-Payer Dollars
- Composition of Board of Directors of the Fund
- Locale of Investment Manager/Trustee

● Allowable Currency Denomination of Investment

In short, USAID must be satisfied with the structure and operations of the Fund to provide safety for tax-payer dollars; USAID representation on the board will help ensure the Fund is used for its intended programs; likewise, the location of the trustee or investment manager will be critical, as pointed out in the DataBank Report, U.S.-based investment managers will have an advantage in terms of stability, investment choices and experience; and, it is still not clear as to whether the Funds will be able to be invested in cedis or currencies other than the dollar. Because of this lack of clarity, planning and budgeting for the endowments must assume that the most restrictive guidelines will apply, i.e, that funds must be invested in low-risk US accounts. Otherwise the project runs the risk of underbudgeting. Non-federal funds, it is worth repeating, would not be subject to the AID guidelines, and planning for their investment can be broader.

A variety of factors and a wide spectrum of actors will need to be involved in the creation and operation of the endowment. As this evaluation has shown, the historic sites and the park are high-visibility sites which arouse intense emotions among different groups. Different interpretations of their function, symbolic importance, interpretation and use exist and these debates can be expected to continue. The sites are furthermore the centerpieces of what is expected to be a large and rapidly growing part of Ghana's export earnings. For these reasons, the endowments, as the entities charged caring for the sites, will play an extremely sensitive role. Because of the sensitivity and visibility of this role, the creation and implementation of the endowments, particularly that of the castles, need to be pursued with a great deal of care.

Steps to establish the funds, particularly the selection of the Boards of Directors and the delineation of the exact purposes and duties of the fund should be marked by a careful process emphasizing inclusiveness, transparency and consensus. As UNESCO World Heritage sites, the monuments can be legitimately claimed not just as national patrimony of Ghana, but of the world. The castles' role in the slave trade also makes them of special significance to Africans of the diaspora, particularly African-Americans, some of whom have already become outspoken about their concerns for the monuments use and presentation. This group is also expected to make up one of the primary tourist markets for the Central Region.

These questions point up the complexity with which the project must be prepared to cope in the establishment of the endowments. Many groups and individuals, including but not

limited to local government, CEDECOM, traditional councils, regional government, GMMB, the National Commission on Culture, UNESCO, ICROM, MUCIA, the Smithsonian and USAID, feel that they have some responsibility and concern for, as well as authority over, the maintenance and presentation of the monuments. The list is similar for the park. Where responsibility for selecting Board members should lie is a first area which must be addressed. A consultant employed by MUCIA is currently working on identifying candidates for boards of directors. This is a necessary and important step, but it should be preceded or accompanied by a high level, broad-based meeting on the creation and function of the endowment. There is not currently agreement among representatives of the interested parties ("stakeholders") listed above over how a Board should be selected and how a trust should operate.

7.3 Description of Work to Date Related to Endowments

Several initiatives and pieces of financial and legal work have been carried out to date on the endowments. The next sections will critically review this work.

7.3.1 Project Management Report

The initial concept, methodology and funding of the endowments from the original project description has already been reviewed. The second time the project addressed the question is in the quarterly project report, dated July 30, 1993. A report entitled "Description of the Endowments to be Established under the Ghana Natural Resource Conservation and Historic Preservation Project" is included in this quarterly report. The document restates the purposes of the fund as stated in the initial project description, states that the initial capitalization of the two endowments shall be held intact in perpetuity, calls for an initial capitalization of US\$100,000 in Year 2 of the project, to be supplemented by yearly disbursements of capital for the remainder of the project up to \$250,000 and calls for five member Boards of Trustees consisting of one member appointed by MUCIA for the duration of MUCIA's involvement in the project, one member appointed by US/ICOMOS, an established member of Ghana's banking community; and an established member of Ghana's historical preservation community. The last two to be appointed by the MUCIA Executive Director. The document describes the duties and obligations of the Board of Trustees as:

- 1) to preserve and protect the financial value of the endowments through informed investment criteria including the financial returns of investments and the security of those investments;

2) contract for and approve an annual audit of the Trust Fund;

3) actively solicit contributions and donations to the endowments, both in Ghana and elsewhere.

The document goes on to state that after the project ends, the members of the Board of Trustees shall be appointed by GMMB in the case of the castles' fund and G&W in the case of the park. This document is essentially an outline of the minimal vision of the endowments.

7.3.2 Draft Trust Deed

Chronologically, the Kakum Park Draft Trust deed is the second piece of work done on the trusts by the project, drafted during the Fall of 1993. The draft deed for the Kakum Park Trust Fund was prepared by the project's lawyer in Ghana, Freddie Blay. Mr. Blay was also interviewed by the evaluation team. The deed is a legal document which establishes the trust, and describes the purposes of the trust and the responsibilities and powers of the trustees. The purposes mentioned are specifically:

1) Activities that are reasonably geared towards the protection of the flora and fauna species in the Park, preventing destruction, disturbance, disease, decimation extinction, etc. of the said species.

2) Projects that are meant to enhance the knowledge and research training of personnel the result of which will benefit the Park.

3) Programs and related undertakings that will improve the environs and the quality of the Park.

4) Education, publicity and awareness programs that will reinforce the need for preservation and protection of the Park.

It is unclear how these activities and priorities were arrived at, or exactly how they would be interpreted in practice. The deed is not accompanied by supporting documentation which clarifies the operation of the trust on a practical basis. To take effect the deed must be registered, preferably with the Deeds Registry.

The draft deed was reviewed by a lawyer at Conservation International in January 1994 and recommendations were incorporated into a second draft.

7.3.3 Shatz Report

In October of 1993, Mr. Jonathan Shatz was commissioned to do a study of the park endowment financial requirements. Consultant fees were split by the NRC and HP Components, and Project Management paid expenses. Shatz's report is essentially a series of financial scenarios given different assumptions about seed capital, donor support and rates of return. Numbers for costs and revenues at the attractions are employed, but not defined and explanation of their empirical basis is not given. Despite its weakness of presentation, the report strongly endorses a large fundraising component. Indeed, the report makes the capitalization of the trust heavily dependent on local and international fundraising. The activities it proposes to be supported by the trust include both maintenance and interpretive activities at both the castles and the park. The report also outlines an operational strategy calling for a \$600,000 operating grant for the trusts themselves and plan for marshalling worldwide donor support.

7.3.4 Databank Report

The next piece of analysis done on the Trust issue is a financial analysis performed by the Ghanaian investment bank and financial services corporation Databank. The Databank report also focuses on different scenarios of funding, varying rates of return and levels of infrastructure to be maintained. It performs the useful function of showing the minimum initial endowment necessary given each different set of assumptions. Costs and revenues used are explained generally and assumptions are clarified. Cost information is presented at a vary aggregated level, however, and based on secondary sources only. Inflation and currency depreciation are not included in the financial scenarios. The report does not look at how the Trust would be operated, or how much its operation would cost.

7.3.5 Agbley Consultancy

Another ongoing piece of work concerning the endowment is currently being carried out by Kwasi Agbley as part of his terms of reference as a consultant to the project. He is identifying possible candidates for the Boards of Directors of the Trusts, and attempting to find additional sources of debt-swap funds.

7.3.6 Management Conference May 1994

The last piece of work on the endowment issue is the discussion of the topic at the Management Conference on the monuments held in the first week of May, 1994. In it, participants discussed plans for an endowment eventually funded at a level of \$20,000,000 and contemplating

maintenance, interpretation, continued restoration and community outreach activities. The funds would be raised by a large international fundraising effort.

7.3.7 Summary Analysis of Work to Date

The overall picture of work on the endowments is one of a patchwork development of a diverse range of models and ideas about the purpose, scope and operation of the funds. Financial analyses vary widely in their description and recommendations because they are using quite divergent ideas about what costs revenues from a trust would have to cover. With proposals for capitalization ranging from the initial \$250,000 (seed capital only) to \$20 million operational descriptions ranging from operation by a volunteer board (1993 quarterly report) to a \$100,000 per year international staff (Shatz report), it is very difficult for the project to focus its efforts. Interviews with consortium members, senior counterparts and consultants brought out a variety of different models about the establishment, initial capital requirements and operation of the endowments. The review of previous work on the funds is extremely useful; work to date has laid out the spectrum of models and gone far into charting the financial requirements of the funds. There exist serious gaps, however, in the work to date, which must be closed before it is sensible to continue these efforts:

- 1) The purposes and scopes of the Trusts are not well-defined. Some work (Shatz report, Draft Trust Deed, Management Conference) define maintenance and interpretation and further capital improvement as purposes, others (Databank, quarterly report) are limited to maintenance and equipment replacement. Nowhere are multiple purposes listed in order of priority and nowhere is there an explanation of how purposes are defined, or why they have been changed from language in the original project description.
- 2) The Shatz report calls for a separate, new grant of approximately \$600,000 to operate the Trust and do fundraising, in apparent ignorance of the project budget and of AID guidelines prohibiting fundraising with grant funds. The Databank report does not include costs for operating the endowments, and the "Description" indicates that Board members will manage the Trusts themselves, apparently without compensation. The Agbley consultancy and interviews with project management indicate the need for a Secretariat which would operate both Trusts, with a small professional staff, costing about \$40,000/year and an initial outlay for equipment of about \$39,000. The cost of operating the Trusts are inextricably related to the purposes and scope of the Trust, and financial

analysis of the minimum initial endowment levels is almost moot without a concrete conception of the Trusts' operation.

- 3) The "Description" calls for five member Boards; the Agbley consultancy is proceeding on the assumption of a nine member Board for each Trust. Some senior counterparts have strongly endorsed the idea of a five member Board for each Trust made up of representatives from local government, traditional councils, and regional government. Other senior counterparts have indicated that Board members should all be prominent Ghanaians without immediate political interest in the sites. Still other senior counterparts have stressed that the Boards must be international and count on representation from bodies such as UNESCO, ICROM, Conservation International, and the Smithsonian Institution. Others have suggested that prominent African-Americans, well-known conservationists, and other public figures be invited to serve as Board members. Without a clear conception of the exact purposes of the funds, however, and a specific idea of the duties of Board members, selection process at this time would still encounter problems.

7.4 The Purposes of Endowments

Review of work to date on the endowment issue necessarily leads to a reconsideration of the purposes and scope of the endowments. The funding and management requirements of the endowments derive from the overall vision of the use and purpose of the funds. There is obviously a spectrum of activities and involvements across which the trusts could be utilized. Furthermore, opinion within the project and the community of interested parties within Ghana is not unified in its vision of the trust activities, particularly with respect to the historic sites. On one end of the spectrum there is what could be termed a "minimal" vision of the trusts' purposes. At this end of the spectrum the trusts' activities are limited to physical maintenance of the historic sites and the park infrastructure, operating expenses like water and electricity and recurring or periodic expenses such as the replacement of durable equipment such as vehicles and film projectors. This view of the trusts' purposes is what is expressed in the original project description echoed in the "Description."

At the other end of the spectrum is a "maximal" vision which views the endowments' purposes as extending beyond basic maintenance and operation to include continued restoration on the historic sites, and interpretation, research and community outreach at both the castles and the park. This was the view endorsed by the management planning conference convened by the

National Commission on Culture. Under this conception fundraising activities would enhance initial seed capital until an endowment of approximately \$20,000,000 is achieved for the historic sites. No similar figure has been generated for the park endowment, but depending on the level of research, interpretation and community development, a endowment of the same order of magnitude would be likely under this vision.

Both views of the trusts' scope have their pros and cons. Ultimately they are not incompatible visions: the minimal vision can help lead to the maximal. But the definition of the trusts' eventual purposes and scope does have an immediate impact in how the funds are set up and operated. Adopting the minimal vision would place emphasis on setting up, skeletal, primarily voluntary, management and oversight bodies for the trusts, while a more maximal vision would need to go beyond this emphasis to one stressing fundraising and promotion of the trusts themselves.

The minimal vision has the advantages of being endowable with identified resources from AID, of requiring relatively little administration and having an unambiguous and easily monitored mission. It has the disadvantage of ignoring enrichment of the sites and development of the interpretive and community outreach activities which contribute to the promotion and attractiveness of the physical sites. It also has the disadvantage of providing a relatively slim "margin for error" in the case of unforeseen contingencies such as a cut-off of staffing from GOG, drastic price rises or major unexpected infrastructure repair.

The broader vision has the advantages of providing a comprehensive program of maintenance, continued capital improvement, interpretation and community development, of achieving an international "high profile" for the trusts and the sites which may have positive spin-off effects for tourism promotion and of creating a larger financial cushion in the case of unforeseen contingencies.

The maximal vision has the disadvantages of requiring a costly and complex international fundraising effort, of requiring greater monitoring and oversight of fund management and uses, and of making the funds' uses more ambiguous and thus more easily subject to conflict and abuse. Obviously there is a great deal of room for different levels of activity and funding between these two ends of the spectrum. Nevertheless, initial set-up and planning must have a clear view of the intended purposes, activities and funding level necessary to make them work.

The project must define the purposes and scope of the endowments before it can fruitfully continue forward with its efforts to fund and operationalize the endowments. A consensus on this point needs to be developed among all the agencies and individuals who are stakeholders in the endowment. Or, if this solution would be counterproductive and stall the creation of the endowments, then the project needs to define these purposes and scope for itself.

Given these pros and cons, and the considerable obstacles which still stand in the way of operationalizing an endowment at all, a nested or layered vision of the funds is probably most appropriate at this time. In this view, AID money would be used to set up the trusts and endow the minimal scope of activities: maintenance, site operation and recurring expenditures. Non-federal funds, from new debt-swaps, donations, interest income from previous foreign currency exchanges, etc. could be used as a second layer to do fundraising aimed at securing a third layer--an endowment large enough to cover the more extensive scope of activities implied by the maximal vision. The AID funds could be managed separately from additional funds, at least in the early stages of the trusts, to help ensure that the minimal vision is carried out and not threatened by the success or failure of attempts to broaden the endowments.

7.5 Funding Scenarios

This section is based on cost and revenue forecasts for the financial situation of the historic sites and the park. Results of these forecasts are presented on six worksheets prepared on Lotus to illustrate the minimum amounts necessary to capitalize the endowments in order to cover the expenses anticipated under the minimal vision of operation. These worksheets are found in Annex 7. This section discusses the variables used in the cost and revenue prediction, the sources of data used in the prediction, the sensitivity to change of some of the variables and then recommends initial seed capital amounts for each endowment.

There are three scenarios given for each endowment, one each for rates of return on principal of 5 percent, 7 percent and 10 percent. On the revenue side, the scenarios include variables for gate fees, concessions, gift shops and, in the case of the park, permit fees, walkway fees and contributions.

The percentage of user fees which will be retained at the sites is unclear and current Ghanaian law requires all user fees to be turned over to central government coffers. There is an effort underway, however, on the part of senior government officials to permit some user fees to remain at the sites in the case of Kakum Park and the monuments. For this

reason the projections of endowment funding will utilize a 50 percent retention rate as a constant. This represents a best possible speculation, but is not yet a matter of government policy.

In contrast to the Shatz report and the Databank report, this analysis is based on a per visitor calculation of revenues. Visitation is conservatively estimated by projecting a steady 10 percent annual increase in visitation over current observed levels, with a cap at 10,000 visitors per year meant to model the effect of the accommodation constraint caused by the shortage of hotel rooms in the region. This cap represents an extremely conservative estimate. There are indications that the sites will attract a great many day visits by Ghanaians (especially schoolchildren) and there are other indications that the accommodation constraint may relax significantly. Nevertheless, prudence requires that endowment planning depart from "worst case" projections.

Information on gate fees was taken from the Databank report and verified by officials in both the historic sites and the park. Nevertheless, there was ambiguity expressed by officials in both areas about what the official entry fees would in fact be. The \$1.50 entrance fee projected for Ghanaians at each historic site, seems quite high given other Ghanaian prices. Too high an admission fee for Ghanaians would lessen domestic visitation, hurting educational and public relations efforts and limiting positive local spinoff effects. On the park side, the \$1.60 admission fee for international visitors may be too low to optimize revenues. The per visitor expenditures on concessions, gifts, etc. were provided by Conservation International on the basis of data gathered from international ecotourism attractions.

In contrast to the Shatz report or the Databank report, the cost projections presented here take advantage of unit cost estimates prepared by the civil engineers on the evaluation team to gauge maintenance costs. In other words maintenance and recurring costs on which these projections are based are derived from independent physical inspection and verification by construction experts who took into account costs of materials, replacement periods and the price of labor. Prices for vehicles and equipment were also verified by the financial analyst based on current Ghanaian prices. Some minor costs, office supplies, for example, were not independently verified, and in these cases the figures are based on the Databank report.

The maintenance costs projected for the historic sites represent minimal maintenance based on the care and repair of the basic fabric of the buildings and the museum rooms in Cape Coast Castle. In other words the maintenance costs prepared on

a physical unit estimation basis refer to the maintenance of the basic stabilization work and the museum rooms, and not to maintenance of fully renovated and refurbished sites. The park maintenance figures represent maintenance of the currently existing structures and of the planned canopy walkway.

In these scenarios inflation and exchange rate appreciation are assumed to cancel each other out, given that most costs will be incurred in cedis and the endowment principal is assumed to be invested in dollars.

Minimum capitalization requirements for the endowments were calculated at the 5, 7 and 10 percent levels of return on investment. Minimum amounts (rounded to the nearest \$50,000) were chosen which were sufficient to cover expected costs with a net positive balance of approximately \$10,000 after each year to be added to the endowments' capital stock. In this way the minimum amounts reflect not only the minimum funds required to cover costs, but also to provide for contingencies and continued capitalization of the endowments.

Because the issue of user fee retention at the sites is politically sensitive, and will involve a new type of agreement between the central government and the sites, the endowments need to be cautious to not overestimate the amount which may be retained. For this reason, the 50% retention scenarios is probably the maximum the project can hope for, given the current political climate vis-a-vis the sites.

The following table illustrates the results of the financial projections for the minimum amounts necessary for the endowments. The scenarios vary according to rate of return and percentage of user fee retention (see Appendix 7).

Table 7.1
Minimum Endowment Amounts
All Figures \$US 000's

Scenario	Historic Sites	Kakum Park
Scenario 1 (5% return, 50% retention)	900	1,100
Scenario 2 (7% return, 50% retention)	600	800
Scenario 3 (10% return, 50% retention)	400	500
Scenario 4 (5% return, 0% retention)	1,150	1,200
Scenario 5 (7% return, 0% retention)	800	850
Scenario 6 (10% return, 0% retention)	550	550

Given that current long term bond rates are in the vicinity of 7 percent annual return, the second scenario is the most realistic at the time of this writing. However, the ambiguity surrounding the question of user fee retention necessitates prudence and cautious planning. For this reason, the evaluation team recommends that Scenario 5 be adopted, with a \$800,000 endowment for the park and \$850,000 for the historic sites.

It is important to point out that the monuments require less principal to accomplish the minimal vision of maintenance and replacement because of the higher gate fees they intend to charge and the fact that most visitors will be expected to pay two separate entrance fees. Even in the absence of fee retention, because of the park's size and remote location, fuel and vehicle maintenance costs are expected to be much greater than those of the monuments, contributing to slightly larger total costs at the park.

The Lotus spreadsheet files for manipulating these scenarios are available for those working on the endowments to further elaborate scenarios in preparation for the operation of the endowments.

CHAPTER 8: HISTORIC PRESERVATION: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations for the Historic Preservation (HP) Component based on evaluation findings. A discussion of how the project will change from the original plan, based on the recommendations, is also provided. Using the major findings, conclusions and recommendations included in this report, a revised program description for this component was developed for illustrative purposes. Found in Annex 9, it may serve as a useful planning tool for project management.

8.1 Conclusions

Based on the findings, the team's conclusions for the HP component are:

1. The historic structures are an integral component of the Central Region tourism promotion strategy. To maximize their appeal as a tourist destination, they need to be restored to a level that will meet international expectations.
2. Basic stabilization is absolutely critical to halt further degradation of the structures.
3. The project has done an excellent job in working to stabilize the structures from further degradation.
4. Full reconstruction and refurbishment of all spaces in the three historic structures (estimated at over \$20 million) is out of the scope of current levels of AID funding.
5. An approved, comprehensive site management plan/scope of work is necessary for adequate conceptualization, pre-planning (including cost estimation), and cost control, of all remaining construction activities.
6. Not having updated historic structure reports reduces long-term maintenance and historic integrity of the structures.
7. An endowment is necessary to ensure the financial sustainability of the historic buildings. The GOG does not have the financial capability to maintain work completed under the project nor to engage in outside fund raising.
8. If government salaries cannot be raised, other innovative strategies must be developed for increasing worker motivation and productivity.

9. Working drawings for Elmina are needed to enhance planning and coordination of construction activities.

10. The component would benefit from a full-time Resident Coordinator. Such a complex effort, involving so many specialized construction activities, needs frequent oversight, preferably by someone with training in preservation architecture.

11. This evaluation would have benefitted from a preservation architect on the team. Differences in training between the project architects (trained as preservation architects) and the USAID evaluators (trained as civil engineers) have resulted in confusion about what definitions for basic stabilization, rehabilitation, and restoration are necessary to permit the most accurate conceptualization, pre-planning and cost control of construction activities.

8.2 Recommendations

The team's recommendations for the HP component are listed below in priority order:

1. Complete basic stabilization activities at all three historic structures. For the purpose of this evaluation, basic stabilization is defined by the engineers as: only the activities aimed at preserving the original structure from further degradation. For functional reasons the provision of sanitary installations for visitors should also be included. Preserving the original structure means addressing the issues of: water tightness of roofs and external walls; physical degradation of exterior walls and carpentry under sea spray; and structural failure. These are considered to be critical and in need of continuous attention.
2. Continue renovation of selected spaces at the three structures that have most potential for increasing tourism development. Examples include Prempeh's room, the Portuguese church, visitor reception rooms and gift shops.
3. Delay beginning of other construction activities until the recommendations of the 1994 Management Conference subcommittee on Function and Adaptive Use are reviewed by GOG and a comprehensive management plan is developed.
4. Based on finalization of an overall management plan, enhance conceptualization and pre-planning of construction activities by: (1) breaking down components of the plan into the smallest, most manageable units possible; (2) precisely prioritizing activities within these units; and (3) preparing a completely new budget based on the prioritized activities and available funding.

5. Provide a full-time HP Component Coordinator to enhance organization and management of project activities. The individual should be stationed in Cape Coast and should have training in preservation architecture. The Coordinator will be responsible for ensuring that: all documentation is properly maintained in the Project Office; contractors are informed about project objectives and the need to work within the limits of the project budget and specified activities; and bid amounts are justified against the project budget.
6. Require that all engineering drawings and specifications be reviewed by experienced preservation architects and engineers before releasing requests for bids. (Engineering assistance from REDSO/WCA/Engineering may be requested for this task).
7. Provide more training for workers to increase productivity. Specifically, train more work supervisors, and train more young artisans in order to preserve quality workmanship and increase numbers of working teams. (Dissemination of knowledge and team-building may, in fact, be made a condition for receiving training).
8. Give a Ghanaian the responsibility, together with appropriate training as necessary, to produce and maintain a log book of all the works done on the historic structures. This will require some equipment (camera, computer, file cabinets, drafting tables, etc). The log book will serve as the basis for future reference and maintenance activities.
9. Provide more scaffolding and other logistical support and contract out more work to increase productivity. Where direct labor must be used (if at all necessary), intensify supervision of their work.
10. Establish an endowment of \$800,000. (A recommended model of endowment operation is provided in Chapter 13.)

8.3 Changes from the Original Plan

The most salient changes from the original plan for the HP component are:

1. Project activities will be limited to basic stabilization and renovation of a few selected rooms that have the greatest potential for tourism development until a comprehensive management plan is developed and approved.
2. There will be a full-time HP Project Coordinator based in Cape Coast.

3. More training will be provided for workers using project funds.

4. There will be more logistical support provided to workers and supervisors.

5. There will be an endowment capitalized at an initial level of \$800,000 instead of the \$250,000 seed capital originally planned.

CHAPTER 9: NATURAL RESOURCE CONSERVATION: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations for the Natural Resource Conservation (NRC) Component based on evaluation findings. A discussion of how the project will change from the original plan, based on the recommendations, is also provided. Using the major findings, conclusions and recommendations included in this report, a revised program description for this component was developed for illustrative purposes. Found in Annex 9, it may serve as a useful planning tool for project management.

9.1 Conclusions

The team's conclusions, based on study findings, are:

1. The Kakum National Park/Assin Attandaso Resource Reserve is an integral component of the Central Region tourism promotion strategy. Kakum already hosts a range of visitors, both Ghanaian and international, and the infrastructure is better than that found in most West African parks. The challenge for the park's developers is to attract, entertain, and educate these as well as new visitors, thereby sustaining the value of the protected area over time.
2. Conservation efforts have been relatively successful in protecting biological diversity found in the park.
3. The canopy walkway and its related site development are necessary to tourism development at the park. Because the public's image of African parks is of East Africa, with its easy and abundant wildlife viewing, a goal of tourism development at Kakum is to replace that image with others that are equally exciting, including imaginative interpretive systems, such as a canopy walkway, that will allow Kakum's visitors to truly experience the forest.
4. The canopy walkway will be the biggest attraction at the park and a major source of user fees. More fees could be generated by extending the length of the originally proposed walkway to accommodate more tourist crossings per hour.
5. The current visitor center (referred to as the temporary park headquarters) is sufficient infrastructure to function as a permanent park headquarters. Additional project funds should not be used to build a larger center.

6. Research activities at the park have been too reliant on expatriate scientists for their design and implementation. Their use increases costs (although CI did do a good job of recruiting expatriates at a very low cost), diminishes potential for strengthening research capacity in-country and/or regionally, and reduces opportunities for students to do field work supervised by their own professors.
7. Community education activities have not received sufficient attention or resources. Long-term conservation efforts in the surrounding area will succeed only if local people have knowledge of and an interest in their natural heritage.
8. Community development activities have not received sufficient attention or resources. Long-term conservation efforts in the surrounding area will succeed only if local people believe they are getting something valuable in return for making perceived sacrifices for the park (i.e., giving up land, food/money from hunting in the park, and fuel/money from logging in the park). Without a perceived benefit, local people may work against the conservation efforts.
9. A comprehensive management plan is essential to proper park functioning and long-term sustainability. Good research data on the park's flora, fauna, and water resources and local communities is essential to development of such a plan.
10. Conservation activities at the park will suffer if the problems of low staff morale resulting from low pay/poor accommodation are not addressed. Some staff may not be motivated to halt illegal activities in the park, or may engage in such activities themselves for money.
11. Staff need more technical and management training. Of particular importance for long-term financial sustainability is fund raising training for senior staff.
12. In terms of construction, there has been a serious lack of conceptualization and preplanning on the part of all responsible parties - MUCIA, CI, CEDECOM, and other Government of Ghana (GOG) officials. Organization of the work is inadequate, supervision is insufficient, and dissemination of information among all parties is poor.
13. An endowment is necessary to ensure the financial sustainability of the park. GOG does not have the resources required to sufficiently maintain what has been accomplished under the project or to engage in fund raising.

9.2 Recommendations

The recommendations for the park for the second half of the project are listed below, in priority order:

1. Use the current "temporary" visitor center as the permanent park headquarters; discontinue efforts to build another structure with project funds.
2. Build the canopy walkway and develop its associated site (i.e., road up the hill, small reception area, toilets).
3. Develop a comprehensive park management plan. Begin by developing the overall outline of the plan, filling in with "hard data" as available. This plan is critical to long-term conservation efforts at the park.
4. Increase local public awareness regarding ecological importance of park by increasing outreach efforts into local communities.
5. Increase community development activities especially in the areas of income generation (i.e., raising grass cutters, developing handicraft centers, and setting up food stands for tourists).
6. Provide housing for staff. Seek funding from the Biodiversity Grant if not available through the project.
7. Increase use of Ghanaian and/or other West African technical experts in conducting research and decrease levels of expatriate involvement. Also, provide opportunities for both Ghanaian faculty members and university students to participate in all research efforts.
8. Increase opportunities for technical training of junior staff and management training, including fund raising, for senior staff. Seek out specific targets of opportunity in terms of training (i.e., specialized courses on fund raising for conservation efforts in developing countries). More training should enhance worker morale and increase motivation leading to enhanced conservation efforts at the park.
9. Organize and conduct a park management conference similar to the heritage management conference held in May 1994. Such a conference will provide guidance, and serve as a stimulus, in the development of an overall park management plan.
10. Establish an endowment of \$850,000 for the park. (A recommended model of endowment operation is provided in Chapter 13.)

9.3 Changes from the Original Plan

The most salient changes for the NRC component in the second half of the project are:

1. The canopy walkway and associated site will be developed as a major tourism promotion activity.
2. There will be an increased emphasis on use of Ghanaian and/or West African researchers and involvement of university students.
3. There will be increased emphasis on public education, community development and income generation activities.
4. There will be increased emphasis on outside fundraising for additional activities.
5. There will be an endowment capitalized at an initial level of \$850,000 instead of the \$250,000 seed capital originally planned.

CHAPTER 10: INTERPRETIVE SERVICES: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations for the Interpretive Services (IS) Component based on evaluation findings. A discussion of how the project will change from the original plan, based on the recommendations, is also provided. Using the major findings, conclusions and recommendations included in this report, a revised program description for this component was developed for illustrative purposes. Found in Annex 9, it may serve as a useful planning tool for project management.

10.1 Conclusions

The team's conclusions, based on study findings, are:

1. Future retention of skilled counterpart staff may be problematic given the low salaries and human resources personnel policies within GMMB. If the cadre of individuals trained under the project find other work, there will be insufficient numbers of individuals left in GMMB to carry on the specialized services required under the project.
2. Community education activities about the role of the historic structures in Ghanaian history have not received sufficient attention. Long-term preservation activities related to the historic structures will succeed only if locals have knowledge of, and interest in, their cultural history.
4. A comprehensive museum management plan is necessary for adequate planning (including cost estimation), cost control and implementation of museum exhibitions and other museum-related activities.
5. A comprehensive management plan for the fabrication workshop is necessary for adequate planning and continued implementation of fabrication activities once the project is completed.
6. The existing fabrication workshop is more than originally envisioned and more than what is needed to achieve the objectives of the IS component. Also, the feasibility of maintaining it after the project ends is questionable given the lack of: (1) a long-term management plan; and (2) long-term maintenance costs.
7. The docent training program seems premature at this point.

8. Overall cost estimation and financial management have been inadequate, leading to significant cost overruns.

9. More collaboration with park naturalists about what is interesting for interpretation would strengthen this component's interpretation activities at the park.

10. Endowment income will be necessary to maintain the museum rooms and other interpretive services. GMMB does not have the resources required to adequately maintain what has been accomplished under the IS component or to engage in fund raising.

10.2 Recommendations

The team's recommendations for the interpretive services component are listed below in priority order:

1. Develop a comprehensive management plan for the museum at Cape Coast Castle, followed by a plan for the proposed museum at Elmina. These plans must fit into any overall heritage monument plan approved by GOG.
2. Increase the level of local public education about the historic structures. Target groups with a high potential for making a difference related to preservation/conservation activities at the sites, for example local fishermen, local business owners, public officials, educators and students. Increase coverage by offering the educational programs at different sites in the communities as well as at the historic structures.
3. Continue efforts to develop interpretive services in the form of brochures, signage, and skilled guides at all three historic structures and the park.
4. Utilize Ghanaian counterparts trained under the project to train other GMMB staff, thus enhancing sustainability of project activities if current staff leave/are promoted to other positions within GMMB.
5. Develop a strategy for the long-term management and use of the fabrication workshop. Include potential resource development activities, for example government contracting and offering workshops and training programs.
6. Abandon the docent training effort.
7. Use a portion of the funds from the historic structures endowment to maintain museum rooms and fund other interpretive services.

10.3 Changes from the Original Plan

The most salient changes from the original plan for the IS component are:

1. There is increased emphasis on development of management and sustainability plans for the fabrication workshop.
2. There is increased emphasis on community education activities.
3. Museum management plans must be developed in accordance with the approved comprehensive site management plan.
4. Docent training activities are abandoned.
5. Artisans trained under the project will be used to organize and deliver training programs for other GMMB staff to enhance the network of trained artisans in skills needed in the field of museology.
6. There will be more collaboration with park naturalists in designing/implementing interpretive services/education programs at the park.

**CHAPTER 11:
TOURISM PROMOTION, MARKETING AND PLANNING:
CONCLUSIONS AND RECOMMENDATIONS**

This chapter presents conclusions and recommendations for the Tourism Promotion, Marketing, and Planning (TPMP) Component based on evaluation findings. A discussion of how the project will change from the original plan, based on the recommendations, is also provided. Using the major findings, conclusions and recommendations included in this report, a revised program description for this component was developed for illustrative purposes. Found in Annex 9, it may serve as a useful planning tool for project management.

11.1 Conclusions

The team's conclusions regarding the TPMP component are:

1. Tourism in the Central Region has increased as a result of the project's marketing, promotion and planning activities.
2. Private sector firms in the Central Region, including private sector tour operators and hotelier associations, would benefit from more association with the project to increase their capacity to plan, market and promote their services and to write business plans required for getting bank loans for expansion.
3. The strategy of proceeding slowly is sound, although there is an urgent need for further hotel development in the Central Region.
4. Training of counterpart staff has been limited to too few individuals. With problems of "brain drain" due to low salaries, a larger core group of trained professionals is needed to ensure sustainability of project activities in the Central Region.
5. The training provided counterparts has been too heavily dependent on using overseas programs in developed countries. The generalizability of content to the Ghanaian context is questionable. Also, the programs are expensive and the cost benefit is questionable.
6. The component has depended too heavily on the use of expatriate consultants to implement short-term training programs in Ghana. The cost benefit of such expertise is questionable.
7. Lack of cleanliness and unsanitary conditions in both Elmina and Cape Coast are barriers to increasing tourism.

8. Training of visitor contact personnel at the historic structures and the park and interpretive programming and displays will be more efficient and effective if done by NRC and IS components.

9. Achievement of project objectives would be enhanced if there were a functioning national database on tourism. Development of sound marketing/promotion plans cannot be developed for the Central Region without an understanding of tourism patterns for the entire country.

11.1.1 Recommendations

The team's recommendations for the TPMP component are listed below in priority order.

1. Continue the heavy emphasis on marketing and promotional strategies as they have been so successful. However, plan and budget more accurately for these activities.
2. Increase the number of counterpart staff being trained to create a larger network of individuals capable of planning, marketing, and promoting tourism in the Central Region. If there are not sufficient staff within GTB in the Central Region, identify interested staff within GMMB, GW and CEDECOM for training.
3. Assist GTB to develop a national tourism data base. As a questionnaire already exists, assistance should address data analysis, monitoring techniques/quality control and report writing. Such data will have an impact on tourism planning and marketing for the Central Region.
4. Decrease the emphasis on using overseas programs for training counterparts. Seek out targets of opportunity closer to home, particularly in West Africa where the tourism context is closer to the Ghanaian context.
5. Continue efforts to improve cleanliness and sanitary conditions in and around the structures in Elmina and Cape Coast.
6. Increase private sector strengthening activities in Central Region, particularly in regards to hotel development, tour operators and hotelier associations, and entrepreneurial activities by artisans.
7. Increase the use of West African (or other developing country) experts as consultants for providing short-term in-country training.
8. Increase the use of West African (or other developing country) technical assistance for providing incountry training related to

tourism development; decrease the use of expatriate short-term technical assistance.

11.3 Changes from the Original Plan

The most salient changes for the TPMP component from the original plan are:

1. There is increased emphasis on using specialists from other West African countries (or other developing countries) to provide incountry training services.
2. There is less emphasis on overseas training in developed countries for counterparts.
3. There is an expansion of innovative grants programs for artisans and others in the private sector involved in projects complementary to tourism development.
4. There is increased emphasis on building a larger core of trained GTB staff for carrying out tourism planning, marketing, and promotion activities.
5. There is increased emphasis on helping GTB at the national level to get the national tourism data base system up and running.

CHAPTER 12:
PROJECT MANAGEMENT: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations for the Project Management Component based on the evaluation findings. Conclusions and their accompanying recommendations have been clustered into three groups: institutional arrangements between MUCIA and GOG; institutional arrangements between sub-grantees and their Ghanaian counterparts; and MUCIA management structure. A discussion of how the component will change from the original plan, based on the recommendations, is also provided.

Using the major findings, conclusions and recommendations included in this report, a revised program description for this component was developed for illustrative purposes. Found in Annex 9, it may serve as a useful planning tool for project management.

12.1 Conclusions: Institutional Arrangements between MUCIA and GOG Counterparts

The team's conclusions about the institutional arrangements between MUCIA and GOG agencies are:

1. The relationship between MUCIA and CEDECOM would be strengthened if the Executive Secretary is more involved in project review and planning activities.
2. There is a need to clarify the MUCIA/CEDECOM/USAID link. The presentation of preliminary evaluation findings at USAID in June 1994 was a good start.
3. There is a need to clarify the links/lines of authority between MUCIA, CEDECOM, and the line agencies (who reports to whom?) The presentation of preliminary evaluation findings at USAID in June 1994 was a good start as well.
4. Trying to resolve internal problems related to the Monuments and Museum divisions is out of the scope of the project.
5. MUCIA would benefit from strengthening relationships with NGOs.
6. MUCIA's relationship with the private sector is a model of success.
7. The personality of the Resident Advisor contributed to establishing effective relationships with counterparts.

8. Relationships with counterparts would be enhanced by a more efficient financial disbursement and reporting system.

12.1.1 Recommendations

The team's recommendations, presented below in priority order, are:

1. Convene a meeting between USAID, CEDECOM, MUCIA and other GOG agencies to review/clarify official links, roles and responsibilities.
2. Develop a new jointly agreed upon project organizational plan. Include procedures for increasing involvement of the CEDECOM Executive Secretary.
3. Establish a MUCIA office physically apart from CEDECOM. Hire a small staff, or consider contracting out services such as financial accounting and security.
4. Continue to work with CEDECOM as the lead development institution at the policy level.
5. Establish regularly scheduled project component and project management review/planning meetings and stick to the schedule.
6. Increase the size of imprest accounts for all components to approximately one-month's budget.
7. Increase contacts with NGOs.

12.2 Conclusions: Institutional Arrangements between Sub-Grantees and GOG Counterparts

The team's conclusions about institutional arrangements between sub-grantees and GOG counterparts are:

1. Relationships between sub-grantees and GOG counterparts at the national and regional levels would benefit from more communication.
2. The HP and IS components would benefit from better collaboration with GMMB, but trying to resolve issues internal to Monuments and Museum divisions is out of the components' scope of work.
3. The lack of time spent incountry by sub-grantees is a major cause of poor communication with counterparts, project inefficiency and cost overruns.

4. Budgeting could be improved by supporting all anticipated costs with documentation from past expenditures or written estimates.

12.2.1 Recommendations

The team's recommendations, presented in priority order below, are:

1. Increase communication with GOG institutions at the national and regional levels.
2. Urge sub-grantees to stay in country at least two weeks when visiting.
3. Conduct semi-annual project review/planning meetings between sub-grantees and counterparts.
4. Invite GMMB architects to attend museum project review/planning meetings.
5. Utilize more rigorous documentation for budgeting to minimize cost overruns and permit more accurate planning.

12.3 Conclusions: MUCIA Management Structure

The team's general conclusions about the MUCIA management structure are:

1. Management has been effective in getting results. It would be even more effective if its relationship with consortium members were characterized by more communication and teamwork.
2. Financial management from the Columbus office is a major strength of the management team.
3. MUCIA's willingness to be flexible (i.e., willing to waive overhead), and willingness to subsidize salaries has contributed to the project's success.
4. Management would benefit from clarification of roles and responsibilities of the Resident Advisor and the Project Coordinator.
5. Management would benefit from clarification regarding the roles and responsibilities of the sub-contractors vis a vis the Resident Advisor.
6. Improving communication between consortium members and the Resident Advisor in Ghana is critical to achieving project objectives in a timely fashion.

7. The lack of an institutional member in the consortium for historic preservation may have a negative impact on achieving project objectives because there is a need for administrative backstopping for the component.

8. Communication problems attributed to gender hinder project effectiveness because there is reluctance to engage in frank and prompt discussion in some cases.

9. The perception that MUCIA has been too involved in politically partisan activities has alienated some consortium members and counterparts and has diminished project effectiveness.

10. Endowments would be better managed and have better chances for sustainability if a secretariat were established and if MUCIA were involved in its establishment.

11. A grant is probably not the most appropriate funding mechanism for projects involving large amounts of construction and outside contracting activities.

12. A "no cost to the government" extension of the PACD is needed until the end of March 1997.

12.3.1 Recommendations

The team's recommendations for project management are presented below in priority order.

1. MUCIA should be maintained as prime contractor. It has shown itself to be successful in achieving project objectives.

2. The project should continue to fund a full-time Resident Advisor in Cape Coast. The administrative complexity of the project requires closer management and supervision of project activities.

3. There should be a review of roles and responsibilities of MUCIA Project Coordinator, the Resident Manger, and sub-contractors, identifying any redundancies or inconsistencies. This will facilitate communication and contribute to more efficient project implementation.

4. Develop a MUCIA Management/Procedural Manual to include information on such topics as: job descriptions, hiring personnel, communication procedures, and contracting.

5. Establish a calendar of regularly scheduled meetings in the U.S. for consortium members and invite the Resident Advisor to some of the meetings. This will enhance development of a team spirit among the group.

6. Establish set times/schedules when the RA will be available in Accra to accept/make telephone calls/send faxes. This will eliminate wasted time and effort of trying to call and not get through. Also there will be fewer "mix-ups" in implementing project activities as people will be communicating more regularly.
7. Provide consortium members with capacity to communicate electronically to improve overall communication and to update and increase consortium members' knowledge of other components.
8. Conduct semi-annual project review meetings in Ghana to provide a greater degree of oversight and more feedback on program activities. Annual project review is too infrequent for adequate planning and decision making in a rapidly evolving project environment.
9. Initiate steps immediately to identify a cooperating agency with whom MUCIA can enter into contract regarding management of the HP component.
10. MUCIA should establish and fund an endowment secretariat. (A recommended model of endowment operation is provided in Chapter 13.)
11. MUCIA should initiate steps to be more responsive to female consortium members/consultants. At a minimum such steps should include a frank discussion of gender issues between management and female consortium members/consultants.
12. MUCIA should avoid activities and associations seen as politically partisan in order to be perceived as independent and work effectively with actors and agencies across the Ghanaian political spectrum.
13. Change the contracting mechanism from a grant to a cooperative agreement to enhance USAID oversight of the project.
14. MUCIA should prepare a formal request to the Mission requesting a 'no cost to the government' extension of the PACD until the end of March 1997. The team furthermore recommends that the Mission approve MUCIA's request.

12.4 Changes from the Original Plan

The most salient changes for the Project Management Component from the original plan are:

1. There will be a project-funded, full-time Project Resident Advisor in Cape Coast.

2. There will be more clarification of roles and responsibilities of the Resident Advisor, the Project Coordinator and sub-grantees.
3. There will be a trust fund secretariat established and overseen by Project Management.
4. There will be more electronic communications media.
5. There will be more routinized communication procedures among all parties.
6. The size of the imprest accounts will increase for all components.
7. There will be a MUCIA office physically separate from CEDECOM.
8. MUCIA financial administration will be separate from CEDECOM.
9. There will be a new organization plan outlining lines of authority between MUCIA, USAID and CEDECOM.

CHAPTER 13:

ENDOWMENTS: CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations regarding the endowments for the park and historic structures.

13.1 Conclusions

As was discussed earlier, much work has already gone into the formation of two endowments. Unfortunately the various pieces have not come together in a unified, clearly understood effort so far. The Agbley consultancy should be of help in this regard. Steps needed to move into operation are:

1. Agreement on the stated purposes and scope of the endowments and development of formal language to that effect in consultation with the key interested parties in the formation of the endowments (MUCIA, Conservation International, Smithsonian, USAID, GMMB, G&W, CEDECOM, National Commission on Culture). This language will be incorporated into a revised Draft Trust Deed.
2. Agreement among the same interested parties over selection criteria for Board members.
3. Identification, invitation and selection of Board members.
4. Determination of initial endowment amounts and preparation for their transfer from USAID, including development of legal language to be included in the Trust Deed over management and uses of proceeds from those funds.
5. Development of an operational plan for the Secretariat, including premises, identification of key personnel, and acquisition of equipment.
6. Preparation of the final Trust Deed in consultation with interested parties, incorporating duties of the Secretariat, MUCIA's role in funding the Secretariat, and provisions for the Secretariat after the MUCIA project ends.
7. Registration of the Trust Deed with the Registry of Deeds and simultaneous transfer of the endowment to Trust. The investment plans for the initial endowment must be executed at this time.
8. Opening of Secretariat and convening of Board of Trustees.

9. Inception of training in fundraising for GMMB and G&W officials. Inception of fundraising efforts for both Trusts using non-federal funds.

13.2 Recommendations

The model of endowment operation being proposed by the evaluation team, having reviewed efforts to date and gathered data on similar funds in Ghana and elsewhere, is a layered or nested model which seeks to achieve the conservative objectives of the minimal vision while encouraging the broader objectives of the maximal vision. The guiding principle is that of building fundraising capacity within Ghana to build on an initial seed endowment sufficient to guarantee the physical maintenance and day-to-day operation of the monuments and the park. The project would train fundraisers in the interested agencies in Ghana, principally GMMB and G&W, and support a Secretariat office to coordinate fundraising.

The model can be described in terms of four systems or components: 1) administration 2) financing 3) fundraising 4) oversight. How each of these systems could work is detailed below.

13.2.1 Administration

The endowments, one fund for the monument, and one fund for the park, would be legally registered entities in Ghana governed by Boards of Trustees as described in a Trust Deed for each body. Different size Boards have been proposed, but nine member Boards are an appropriated size to be able to convene easily, while also sharing duties and extending the scope of the funds' contact into Ghanaian society. USAID should have a place on each Board until such time as USAID believes the Funds can operate fully independently. The Board would be supported by an international advisory Board, whose role would be to support the administrative Board and provide contact and linkages to fundraising opportunities on an international level.

The Boards would be supported by a single Secretariat whose job it would be to carry out the Boards' wishes, create public information with regards to the Trusts, manage new donations, and raise new funds. This last function is contrary to AID guidelines and would have to be accomplished using non-federal funds, either new debt-swap or currency swap donations or interest income on the earlier blocked currency exchange. The fundraising activities would be accompanied by a new thrust in the project: the training of GMMB and G&W officials in state-of-the-art fundraising techniques.

As noted in Table 13.1, the Secretariat envisioned would be staffed by a director, an public relations and event coordinator,

Table 13.1

**Proposed Secretariat for the Endowments
(all figures cedis)**

Secretariat

Personnel

Director (800,000/month)	7,200,000
Public Relations/Events Coord. (500,000/month)	8,000,000
Senior Accountant (400,000/month)	4,800,000
Secretary (100,000/month)	1,200,000
Driver (60,000/month)	720,000
Office boy/manager (50,000/month)	800,000
Overhead (25%)	<u>5,130,000</u>
	25,850,000

Administrative

Rent (200,000/month)	2,400,000
Electricity (50,000/month)	800,000
Telephone (100,000/month)	1,200,000
Office Supplies (200,000/month)	2,400,000
Fuel/vehicle maintenance (2,800,000/900,000)	3,500,000
Travel (200,000/month)	2,400,000
Contingency	<u>2,000,000</u>
	14,500,000

40,150,000 x 2.5 years

Capital

Vehicle	20,000,000
Word processors/computers (3)	9,000,000
Copy machine	3,000,000
Fax machine	500,000
Air conditioners (4)	4,000,000
Office furniture	1,500,000
Telephones (4)	<u>500,000</u>
	<u>38,500,000 x 1</u>

TOTAL

138,875,000

Source: Resident Advisor's estimates, June 1994.

an accountant, secretary and driver. It would be equipped with computers and a vehicle. The Secretariat would be funded by the project for the rest of the life of project, with its fundraising budget coming from non-federal sources. If at the end of the project, the Secretariat is unable to sustain itself, the administration of the funds would devolve wholly to the Boards of Trustees. In the meantime, fundraising capacity would be institutionalized in the government agencies most responsible for continuing natural resource conservation and historic preservation in Ghana. Total cost of operating the Secretariat from August, 1994 until March, 1997 is estimated at \$139,000 (based on information provided by the Resident Advisor, May, 1994).

13.2.2 Finance

The endowments should be established with an initial endowment out of the NRHPP allocated funds. These funds should be managed from a standpoint of risk minimization, as they are the only currently identified funds for the endowments. Given the continuing ambiguity of AID guidelines, it is recommended that these funds be invested in the United States, probably in a mixture of government securities, and money market instruments which would minimize the transactions costs associated with management of the funds. Investment in the US along these lines would be expected to meet any version of the final guidelines, and would therefore not expose the endowment to violation of AID policy. It is realistic to assume that returns of five (5) percent per annum can be achieved with a minimum of risk. The initial deeds establishing the endowments and the endowments' by-laws would specify the restrictions on the investment of the initial trust capital. New donations generated by fundraising would not be limited by AID guidelines and would be invested according to an investment strategy formulated by the Boards.

13.2.3 Fundraising

It is evident that the initial minimum endowments to cover physical maintenance, operation and equipment costs at the historic structures and the park will leave many aspects of interpretation, continued restoration or infrastructure development and community outreach out of the reach of the endowments. Both the recent management conference and the Agleby consultancy stress the need for a strong fundraising effort to capitalize the endowments to a level sufficient to generate revenue for the funding of these activities. A strong fundraising effort was also a main recommendation of the Shatz report.

The current fundraising climate for the endowments or for additional grants is hard to read, but no concerted effort has been made to identify donors and raise money. The experience of the Historic Preservation Component, which was turned down by the Getty Foundation on one grant proposal, and could not obtain funding from any of twelve donors approached to pick up Russell Keune's salary for US/ICOMOS is somewhat troubling. On the other hand, the notable success of the project in attracting both the UNDP and USAID in the first place should be seen as proof of its attractiveness to donors.

It is clear that there is a lack of fundraising capacity within both of the key government agencies which will be responsible for maintaining and upgrading the monument and the park, GMMB and G&W respectively. To address this gap, the project should seek to train and empower fundraisers within these organizations and in CEDECOM so that they can prepare effective marketing strategies, presentations, solicitations and follow-up. An ongoing fundraising presence actively campaigning for money to continue with restoration, and development of the Central Region attractions is the best possible strategy for financial sustainability of the attractions and will continue to be important as tourism to the region increase. An effective strategy will need to target local individual donors in Ghana, private donors in the North America and Europe, bilateral donations from governments, particularly in Europe,

MUCIA is well prepared to provide training in fundraising. Efforts similar to the training activities in the tourism promotion component will need to be designed and carried out. Indicators of performance will be the trainees' demonstration of their ability to generate revenues, measured in dollars.

13.2.4 Oversight

It will be the responsibility of the Board of Trustees of each endowment to monitor and oversee the management of invested funds, their disbursement and usage. This will be accomplished through establishing transparent methods of accounting, physical inspection, audits, proper segregation of duties by Board members and staff, and appropriate criteria for Board members. USAID's presence on the Board through the initial phases of operation will also help to ensure that funds are handled responsibly. It should be stated in the Trust Deeds that in the event of the dissolution of the endowment, USAID's portion of the initial endowment will revert to USAID.