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MID - TERM EVALUATION REPORT

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EXECUTIVE SUMMARY

Positive economic performance, successful anti-terrorist actions, and the restoration of constitutional order were the first steps towards regaining lost ground in Peru's development process. Emphasis should now be placed in generating trust among citizens and in their government in order to enhance the effectiveness of the political system and the willingness of all to commit time and resources for sustainable development. This is not an easy task in a country characterized by an authoritarian political culture and the exclusion of a majority of its citizens from central decision-making mechanisms.

USAID/Peru's Participatory Democracy Project (PARDEM) was set up to meet this challenge. Its five-year goal is the establishment of political institutions that reflect popular participation, sustain individual rights and freedoms, and are transparent and responsive to their constituents. In order to achieve this goal, PARDEM has committed ten million dollars to support activities in three main components: (a) Civic Awareness, to be implemented in two phases, whose purpose is to enhance citizen knowledge on their democratic rights and responsibilities and their capacity to exercise them, (b) Public Accountability, (c) Electoral Systems. In 1996, the Civic Awareness component was more specifically defined by placing it under USAID Strategic Objective No. 1 ("Broader Citizen Participation in Democratic Processes") and Intermediate Result (IR) 1.4 ("Citizens better prepared to exercise rights and responsibilities").

The present evaluation focuses on Phase I (3 years) of the Civic Awareness Component as implemented during 1995-1996, under the Cooperative Agreement (CA) with the Group of Analysis for Development (GRADE), a Peruvian NGO dedicated to research and policy proposals. According to provisions in the CA, GRADE was to function as an "umbrella" organization in charge of identifying, selecting, funding, and monitoring ongoing civil society initiatives that directly responded to the component's Lines of Action: Institutional Reform, Promoting a Culture of Democracy, Consensus-Building, and Leadership Training.

The main conclusion of the evaluation is that the results obtained during the first two years of the five year project, are evidence of the potential of the civic awareness component and of the importance of its continuance. This conclusion is the result of a detailed examination of central aspects of project implementation through the analysis of project documents, interviews with project managers and beneficiaries, and project site visits. The Scope of Work for this evaluation included eight sections or tasks dealing with diverse aspects of project process. The main conclusions for each of these sections are the following:

1 Project Design The goal and purpose of the Civic Awareness Component do effectively address a major problem area in Peru's development process. Lack of citizen knowledge on their rights and responsibilities and on the workings of democratic institutions curtail popular participation. Furthermore, no other international donor has a program committed (in programmatic and financial terms)

to the strengthening of democratic values and institutions. This by itself is a strong indicator of the project's contribution to Peru's development process.

Project design, however, was based on an overly optimistic view of the willingness of the Government of Peru (GOP) to reform institutions and make them more responsive and accountable to constituents. Political developments after PARDEM was designed have seriously questioned the validity of this assumption, as major governmental institutions have resisted change. As a result, civic awareness has increasingly focused civil society and grassroots initiative, in a clear "bottom-up" approach to democratization. The evaluator considers that given the political setting and available resources, this is a rational and coherent option.

2 Project Implementation GRADE has been an efficient and effective implementor of the civic awareness component. However, the institution had initial problems due to both internal and external factors. Internal factors included difficulties in concentrating resources so as to guarantee greater project impact, inability of assuring synergy among proposals, and a high "start up" cost. The most important external factor was the poor quality of NGO proposals presented for USAID/GRADE support. In 1996, these obstacles were eventually removed and the civic awareness component has become more effective.

In the two years under evaluation, GRADE managed \$1,665,499 in civic awareness funds and achieved the following results through an adequate selection of the competitive advantages of each of the sub-grantees:

- Processed more than 110 initiatives, approving and signing 34 sub-grants
- Reached close to 70,000 direct beneficiaries, including members of the political elite, news media, labor unions, grassroots organizations, teachers and students, and the general public
- Organized more than 120 events, workshops, seminars, conferences and meetings. Likewise, continuing radio programs have been aired in twenty four stations across the country
- Supported twenty seven studies on civic awareness issues
- Published close to 50,000 copies of books, bulletins, guides and fascicles

Administrative costs started at a high rate in the first year (41%) but have been substantially reduced by 1997 (17%), indicating cost effectiveness when compared to the outputs obtained in projects implemented by other NGO. In terms of sustainability, most of the initiatives supported are still part of the mission of sub-grantees and have continued after project life.

3 Sub-grant Program This program is the main civic awareness activity and consists of selecting NGO initiatives with greatest possible impact in enhancing citizen knowledge and in the exercise of their democratic rights and responsibilities. The theoretical framework informing this selection was appropriate, giving priority to ongoing initiatives of respected NGOs that --through USAID/GRADE funds-- could maximize impact and reach a larger target group.

Funded projects have reached close to 70,000 direct beneficiaries, though most -- an estimated 80%-- have been involved in project activities where they only received information or were sensitized to democratic issues. It is difficult to assess the lasting impact of civic awareness in this target population. However, more than 12,000 participants were actively involved in training and educational programs having a direct bearing on their daily occupations and lives. Major results have been obtained within the educational sector, through programs focusing on generating democratic coexistence within schools and leading to curriculum changes in the system.

In qualitative terms, the sub-grant program has successfully explored and implemented different means for introducing civic awareness and education in the workings of diverse institutions and publics: media, schools, grassroots organizations, and general population. In the process, it has strengthened NGO community capacity to address democratic governance.

GRADE has achieved major progress in monitoring the efficient use of program resources and in monitoring outcome performance. A remaining challenge is to design a better system for measuring program impact and sustainability.

4 GRADE Studies and Research The CA contemplated a research component on civic awareness issues to be conducted by GRADE so as to "feed" project activities and help define Phase II activities. Eight studies were conducted with civic awareness funds. In the first year, five projects were realized, mostly interesting essays concerning democratic participation and institutional reform but with little impact on direct civic awareness activities. Second year studies were more intimately connected with project activities, providing information for both GRADE implementors and other political actors (Ministry of Education, Ministry of Work, academia, other NGOs, among others).

5 Project Organization and Administration Although from the beginning GRADE efficiently managed financial aspects of the project, it had to build the capacity to serve as an "umbrella" organization and reach out to the NGO community and select its initiatives. Original project administration was based on a personal and "human relations" style of management which proved ineffective as project portfolio grew. In mid 1996, changes in project organization and the strengthening of a management information system (MIS) would permit an adequate processing of initiatives. In 1997, preliminary actions have been taken to strengthen GRADE's capacity in measuring project impact.

6 Coordination with USAID The relationship between partners has always been cordial, although poor project results during the first semester of 1996 did affect USAID/Peru's image of GRADE as an efficient implementor. Improved results and greater flow of information has reversed this view. Areas which still need work are (a) basic agreement on the overall impact expected and how to evaluate results, (b) greater consensus on the lines of activities to be prioritized.

7 **1997 Work Plan** This plan is the most consistent and coherent of Phase I activities. It concentrates resources in two lines of action --civic education and democratic leadership-- that have proven to be most effective in promoting civic awareness given country setting and available resources. In most of the selected projects there is a combination of the fostering of democratic knowledge with the promotion of means for exercising acquired knowledge, be it through curriculum design in schools, adapting to new norms in the productive sphere, or direct contact with the political institutions in charge of protecting citizen's rights.

8 **Recommendations** The results obtained in 1995-1996, despite initial "start up" problems, **provide a solid justification for the continuance of the civic awareness component.** The component is at its most promising stage, now that there is a clearer view of existing and ongoing democratic initiatives and a more realistic interpretation of political context. Greater dissemination of the scope and the results of civic awareness have raised expectations among diverse civil society organizations and some government institutions. The lessons learned, however, provide important leads on the measures that must be taken in order to achieve SO 1 and IR 1.4.

- A new project design must be elaborated in order to incorporate USAID country strategic objectives and take into consideration changes in country setting. This should be undertaken jointly by USAID and GRADE.
- Project should continue focus on civil society and a "bottom-up" approach by working with the most solid and vibrant grassroots organizations that already have linkages with governmental institutions or that are directly addressing legislative reform (women's rights, productive and natural resource management, consumer rights, among others).
- Sub-grants should be concentrated in multi-year proposals in areas where greatest synergy and impact may be expected: educational and health reforms, women rights and the Ministry for Women, ongoing strategic planning in local government.
- It is necessary to strengthen sub-grant evaluation and impact measurement.
- Research should support the evaluation of project impact by comparing different modes of delivery and their relative lasting effect on civic awareness.
- Project management would benefit by establishing one or two set dates for all project review and selection, leaving remaining time for project monitoring and outcome assessment.
- USAID/Peru should establish greater communication among the diverse Participatory Democracy initiatives in order to share strategies and compare modes of delivery.

PRESENTATION

This evaluation report examines major aspects in the design, implementation and impact of the Civic Awareness Project during 1995 - 1996 as implemented by the Group of Analysis for Development (GRADE) under a Cooperative Agreement with the United States Agency for International Development (USAID/Peru) The main objectives of the evaluation are to

- Review the performance of the civic awareness component of PARDEM as implemented under the GRADE Cooperative Agreement during October 1994 through December 1996
- Determine the factors contributing to successful performance or lack of it
- Make program, policy and implementation recommendations for the future (with particular attention as to how USAID can best focus its future civic awareness activities to have the greatest impact in achieving SO 1 "Broader Citizen Participation in Democratic Processes" and IR 1.4 "Citizens better prepared to exercise rights and responsibilities")

The Civic Awareness Project is one of the three components of the USAID/Peru Participatory Democracy Project, whose goal is the establishment of democratic institutions that reflect popular participation, sustain individual rights and freedoms, and are transparent and responsive to their constituents. The Civic Awareness component specifically addresses the empowerment of civil society through increased citizen knowledge of their democratic rights and responsibilities and enhanced abilities to exercise these rights and responsibilities. The other components --Public Accountability and Electoral Systems-- respond more to direct institutional reform with government agencies, making them more responsive and accountable to constituents.

The PARDEM project considers that Peruvians must address two major problems which impede an effectively functioning democracy: the lack of widely held civic values and understanding of political processes, and the lack of transparent, responsive and accountable public institutions. Although the international community has an important role in supporting the establishment of a functioning democracy, the reversal of these problems is the responsibility of all Peruvians, but mainly of the private sector. In this sense, the implementation of the Civic Awareness Component primarily relies in the identification, selection, and support of those democratic initiatives conducted by Peruvian Non-Governmental Organizations (NGOs) which directly address PARDEM project goal and purpose. USAID chose GRADE, a renowned Peruvian research and policy making NGO, as implementor of project activities and to serve as an "umbrella group" responsible for identifying, selecting and funding civic awareness projects and, in the process, strengthening NGO community capacity to address these issues.

The duration of the Civic Awareness Project was set for five years and under two phases. Phase I had a three year duration and was originally set to start on September 29, 1994 and end on September, 29, 1997, but was extended to January 31, 1998. This evaluation specifically covers the period from September,

1994 to December, 1996, though dwells on some general matters of the 1997 work plan Phase II was originally contemplated for a two-year duration

The Cooperative Agreement (CA) between GRADE and USAID/Peru establishes four Lines of Action for Phase I activities

- 1 Institutional reforms, including interventions and studies to improve existing institutions through the upgrade of the capacities of citizens to participate in government It includes activities with the following groups (a) Executive and Congress, (b) Decentralization, (c) Political Parties, Civil-Military and other studies
- 2 Promoting a Culture of Democracy by improving civic awareness and fostering attitudes that are supportive of participatory democracy and governance It includes activities with (a) School Curriculum, (b) Information Campaigns, (c) Journalism
- 3 Promoting Agreement and Consensus, by supporting organizations that are actively engaged in promoting public dialogue and discussion
- 4 Leadership Training, by improving democratic skills of leaders of voluntary organizations, particularly trade unions and grass-roots associations

These four lines of actions were to be carried out through three modes of assistance (a) small and medium sized grants (from \$15,000 to \$70,000) for NGOs actively involved in any of the four lines of actions and ranging from discrete activities (events) to multi-year projects, (b) subcontracts with local and international institutions to carry all or most of the work in a given line of action, and (c) studies to be conducted at GRADE that are directly related to the activities contemplated in the project

Methodology

Phase I of the Civic Awareness project consists of identifying, selecting, and funding diverse civil society initiatives which have an impact on citizens' knowledge of their democratic rights and responsibilities and in their ability to effectively exercise them It has a flexible design in order to respond to flexible surrounding conditions, permitting the review of strategies and priorities during the implementation process In other words, the project does not pre-select a preferred mode of delivery rather it attempts to explore and discover the modes of delivery which apparently have better probabilities of success due to past performance and the recognized professional capacity of the selected counterparts Likewise, it does not predefine a target population, but offers a wide-range of options, ranging from elected representatives to grassroots organizations

A qualitative approach is best suited for the evaluation of a project with these characteristics where multiple outputs, diversity and complexity of project sites and

targeted populations, different implementors and forms of delivery, all produce multiple sources of data. These sources of data are not comparative because they do not deal with controlled and experimental settings, nor were common variables and indicators predetermined for measurement. Therefore, they must be examined within each setting in order to infer the impact of each mode of delivery.

There are three major data collection strategies under a qualitative approach and these were used in the present evaluation:

- Document examination Documents are examined in three major dimensions: their internal consistency and coherence (does it follow a logical sequence? are there major contradictions?), the degree to which they accomplish their purpose (do reports actually inform? are plans true guidelines for future action?), and their external validity (are they supported by other data and observations?)

The Civic Awareness Project has produced a large amount of documents and they could not all be realistically examined in detail. Priority was given to documents that were essential in project design, implementation, sub-grant selection, research, and dissemination of results. A detailed list of the documents examined is presented in Attachment 1.

- Interviews The perception of major participants in the project is of paramount importance and this can be partially captured by conducting semi-structured interviews. They should not be highly structured because the evaluator is simultaneously collecting and analyzing information and in the course of the interview will decide which areas might be more revealing and need further probing.

During the evaluation process, interviews were conducted with GRADE and USAID key personnel and researchers, with others who participated in one way or another in project design and implementation, and with representatives of the sub-grantees. Representatives of NGOs whose proposals were rejected were also interviewed (refer to interview list in Attachment 1).

- Field visits The importance of field visits is that they permit direct observation of site particularities and give a greater "feeling" of the conditions surrounding project implementation and effectiveness of the modes of delivery selected.

The thirty day limit for all evaluation activities, somewhat curtailed the possibilities of extensive site visits. Due to this limit, special attention was placed on visiting sites outside of Lima, where surrounding conditions greatly differ from a metropolitan area. In the field visits, direct project beneficiaries were interviewed. A total of 14 sites were visited, representing 50% of all projects implemented during the evaluation period (1995-1996). Please refer to Attachment 1 for sites visited. These sites were selected by the joint

agreement of GRADE, USAID and the evaluator, attempting to represent different modes of delivery, lines of action, modes of assistance (small and medium grants), and geographical setting

A qualitative approach produces a great amount of data which must be sorted out, compared, interpreted, and selected by the evaluator. This is precisely the process of analysis, turning the wealth of data into manageable and meaningful categories, which must then be presented to the intended reader in a clear and understandable form. A final process of analysis is to draw conclusions and verify their validity. This last part normally occurs by follow-up interviews and reactions to the draft of the evaluation report.

Scope of Work and Evaluation Report Organization

The scope of work for the evaluation includes the examination and analysis of eight major aspects of project implementation. These aspects, considered in the scope of work as "tasks", are the following:

- 1 Design of the Civic Awareness Component, in order to analyze the feasibility of the civic awareness component
- 2 Implementation of the Civic Awareness Component, review the overall effectiveness and impact of the component as implemented
- 3 Sub-grant program, review the overall effectiveness of the program, including the design and implementation of individual activities, their impacts, reasonableness of costs and possibilities of replication
- 4 GRADE Studies and Research, analyze studies conducted and their usefulness and impact
- 5 Project Organization and Administration, review and analyze the administration and organization capacities of GRADE
- 6 Coordination with USAID, analyze coordination efforts between GRADE and USAID
- 7 1997 Work Plan, assess the Plan in the context of the civic awareness component
- 8 Recommendations

The Evaluation Report is organized around these tasks, each of them constituting a separate chapter. At the beginning of each Chapter a summary of the discussion is offered. In order to avoid repetition, major conclusions and recommendations on each Chapter or "task" have been ordered and synthesized in the last Chapter.

Chapter 1 DESIGN OF THE CIVIC AWARENESS COMPONENT

Scope of Work

"Review and analyze the feasibility of the design of the civic awareness component, including purpose, objectives, results, assumptions and compatibility with SO1. Determine whether the current design is realistic, reasonably flexible and includes adequate human, material and financial resources. Also determine whether the design adequately reflect gender considerations"

Introduction/Summary

During the course of this evaluation, a widespread agreement among those interviewed in the NGO and the academic community, representatives of civil society organizations, teachers, and others, was that the PARDEM project is an important and essential effort in fostering democratic practices in Peru. **No other major international donor has a program committed (in programmatic and financial terms) to the strengthening of democratic values and institutions.** The design of the PARDEM project and of the Civic Awareness Component, in general, then fills an important void by promoting diverse programs and activities geared towards bringing together government and the people, and by creating or strengthening "spaces" and "places" for members of civil society so as to permit their free exchange of ideas and initiatives in the democratization of the country. Thus, both PARDEM and Civic Awareness project designs adequately address a major problem area in Peru's development process.

The PARDEM Project recognizes, however, that

- a This is a highly sensitive arena in a country characterized by a political culture based on authoritarian values, centralism, inequality, and exclusion of popular participation in decision-making (page 10 of PARDEM project)
- b Peru's political, economic, and social environment is still highly volatile and that the " commitment process must retain a flexibility which mirrors the flexibility of surrounding conditions" (page 11 of PARDEM Project)
- c The adoption of democratic values and habits of interaction is a task that should be undertaken by recognized and prestigious civil society institutions. Project purpose, then, is to strengthen the existing capacity of these institutions to extend their tasks to a significant portion of the populace.

These are the three essential elements defining the design of PARDEM project and the Civic Awareness component. The highly sensitive character of political action, plus the fact that the activities are funded by an international donor, lead towards

the selection of programs and projects which emphasize consensus building and conflict resolution versus confrontation. The flexibility of surrounding conditions, leads to a Project design that has very clear goal and purpose determinations but only a "discussion of proposed areas of intervention" so that the "flexibility in the choice of activities must be retained" (p 12 PARDEM project). Implementation is based on the supposed existence of a "critical mass" of respected and recognized civil society institutions which are capable and have the "know-how" of assuming the challenges of institutional reform, the promotion of a culture of democracy, consensus building, and leadership training.

As it will be pointed out, these design considerations have had an important effect in the process of implementation and selection of activities. Though the general feasibility of the current design **still holds true** --especially in the higher order project orientations (goal and purpose)--, there are specific areas which due to design considerations delayed proper implementation.

- 1 Project design was based on an overly optimistic outlook of the political and economic environment, especially with respect to GOP commitment to institutional reforms. This led to the initial support of activities with a "top-bottom" approach, where attempts were made to sensitize governmental authorities so as to be more responsive and accountable. Lack of political will for institutional reforms and funding limitations, however, curtailed major progress in this area. The civic awareness component, as a result, gradually assumed a "bottom-up" approach, focusing on changes in civil society and its capacity to exercise democratic rights and responsibilities. USAID Country Development Strategy was reviewed in 1996 and incorporates the latter approach in SO 1 and IR 1.4, but this has not been appropriately translated to the Civic Awareness Component.
- 2 While flexibility of choice of activities is one of positive aspects of the design, at the same time there was not a correspondent flexibility in the mandated implementation plan, work schedule and time-tables.
- 3 The demand for financial resources (funding) was based on the assumption of pre-existing participatory democracy initiatives among Peru's NGOs. This assumption was not entirely valid and an important amount of GRADE's effort and resources had to be invested in creating and defining this demand.
- 4 Gender considerations are only mentioned in passing, not existing a specific commitment to its treatment.
- 5 Project resources are not sufficient for tackling the wide-array of activities included in the FOUR LINES OF ACTIONS considered as essential for the component. Likewise, the contemplated modes of assistance give priority to small and medium sized projects, making difficult the appropriate measurement of medium to long term impact.

In the next pages, these aspects or problems of Project Design will be discussed in detail

I CHANGES IN THE PROJECT SETTING

Changes in Peru's political, economic and social environment in the short period from the time the PARDEM Project Paper was elaborated (1994) to the time USAID Strategic Objectives for 1997-2001 were designed, will bring important changes in how the Civic Awareness Component is defined. The following analysis will show how the original emphasis placed on activities to both foster institutional reforms and to strengthen citizen's capacity to interact democratically, will slowly derive to interventions with only the latter

In order to sustain processes of democratization, the best possible mix is of proven political will in institutional reform in order to generate a legitimate, efficient, effective, and responsive democratic state system and a citizenry aware of its democratic rights and obligations. In 1994, both of these conditions were mostly in an embryonic stage in Peru, though there were objective indicators that led to optimism with respect to their future development. This optimism was built upon the following observations

- Terrorism had been virtually defeated, and the economy was stabilized and on its way to recovery
- The authoritarian action of April 5, 1992 was perceived as a necessary but temporary evil and constitutional order had been restored
- The 1993 Constitution had been ratified in a Plebiscite and new political institutions were emerging that strengthened the checks and balances of power and increased citizen input in governance
- Though political parties were weakened, civic organizations found that they could freely operate without the threat of terrorist groups and human rights violations --especially extra-judicial executions and disappearances-- had been substantially reduced

One of the true wonders of the transition from 1990 to 1994 --year when the Project Paper was written-- was that despite the high social cost of this process, the Presidency had increased its popularity **because government --specifically the Executive-- was perceived as effective and citizens believed that its actions were moving the country towards an ordered and peaceful society**

After the government had tackled difficult problems with brave, though sometimes stern measures, most Peruvians believed that a slow but steady process towards democratization would occur. The upcoming elections in 1995 --both at the national and the municipal levels-- were viewed as important instances for political debate and, hopefully, consensus building. The 1994 Project Paper clearly reflects this optimistic outlook, though it also recognizes the pervasive danger of a political culture based on authoritarian rule, political exclusion and centralization, clientele politics and personalism, and inefficiency and corruption

In less than three years, however, some of the optimism begins to fade. USAID Country Development Strategy For Peru (1997-2001) indicates in the ISSUES section (section D, pages 11- 14), how some of the initial PARDEM country context assumptions were no longer valid or had not shown the expected positive developments. Some of the worrying signs indicated were

- President Fujimori's personal style of leadership raised questions about the sustainability of many of the GOP's economic and social reforms, participatory democracy, modernization of the government structure, and feasibility of the USAID strategy
- The weakening of the economy was a clear sign of how fragile economic recovery is in Peru. Without acceptable economic growth, Peru could not achieve the important objectives of democratic strengthening, poverty reduction, social development, environmental protection and coca eradication
- Governmental resistance to institutional reform, especially in the legislative and judicial systems, questioned the political will behind the announced changes. Centralization of decision making had not been reduced, as witnessed in the concentration of resources for social development in the Ministry of the Presidency

The period under evaluation of the Civic Awareness component of the PARDEM project occurs during this transition. Many Peruvian citizens had passed from initial enthusiasm on institutional reform, consensus building and economic reforms, to a sense that government did not have anything new to show or achieve in the grave problems facing a majority of Peruvians: unemployment and under-employment, poverty, delinquency, and so on. In a nutshell, the changes occurring during this short period clearly show that the process of democratization, consensus building, and citizen participation **still strongly depends on the capacity of civil society to organize, express its needs, and create communication channels with government**. In other words, democratization in the Peruvian scene has to be mostly based on a "bottom-up" strategy. The original hopes placed on the political will for institutional reform ("top-bottom" strategy) and its interface with popular participation had clearly been challenged.

The implications of this changing context is captured in USAID/Peru's redesign of Strategic Objectives and lines of action. Originally, in the PARDEM Project Paper and in the Cooperative Agreement, the first USAID Strategic Objective was to

"Strengthen democratic institutions that sustain individual rights and freedoms and are responsive to their constituencies"

The PARDEM project goal reflects this SO by stating that its goal was **"democratic institutions that reflect popular participation, sustain individual rights and freedoms, and are transparent and responsive to their constituents"**. And the Project Purpose was to **"strengthen democratic systems of governance that empower Peru's citizenry to express its needs and its government to respond"**

The emphasis was to strengthen civil society and its organizations and, at the same time, make government institutions more responsive to its constituents. In terms of the Civic Awareness component, this was translated into Project Activities which both dealt with institutional reforms (Project Activity A) and with the strengthening of democratic practices in civil society (Activity B - culture of democracy, Activity C - consensus building, and activity D - leadership training). As it will become apparent when discussing project implementation in the next Chapter, this wide array of activities, diminished GRADE's initial capacity to concentrate interventions and focus its efforts. In time, however, the Civic Awareness component will focus its activities towards civil society and, from there, attempt to address political institutions.

In the USAID Country Development Strategy for Peru (1997-2001), Strategic Objective No. 1 changes to

Broader citizen participation in democratic processes

And the Intermediate Result 1.4, which corresponds to the Civic Awareness Component of the PARDEM Project, is the following

Citizens better prepared to exercise rights and responsibilities

In other words, the new SO1 and IR 1.4, are an important step forward in focusing interventions under the Civic Awareness Component with GRADE. The weight of the new USAID Strategy and the expected intermediate result clearly give priority to strengthening civil society and not institutional reform, which are now the priorities of Intermediate Results 1.1, 1.2 and 1.3 in care of other USAID projects. It is expected, then, that Phase II of the Civic Awareness Project will continue with these more realistic objectives and results and permit the focusing of activities with civil society organizations.

II FLEXIBILITY

As mentioned before, in the design of the PARDEM Project and Civic Awareness Component Project, an important degree of flexibility is allowed for defining project activities. Flexibility is present in the following spheres:

- a. While the Cooperative Agreement contemplates action in the four issue areas "the focus and concentration of efforts may vary from year-to-year, depending on the opportunities that are presented. The annual work plans will provide more specificity in choice of interventions" (CA Program Description, page 2)
- b. Each of the activities mentioned above contemplates the possibility of conducting studies so as to better determine the actions to be performed and priorities for five-year project implementation. Therefore, Project Design did not overly emphasize immediate demonstration projects.

- c There is also flexibility in the modes of assistance
 - **Grants** small grants for "one-shot" activities and discrete events, medium grants for longer-term activities and studies, including the possibility of multi-year grants
 - **Contracts** geared towards local NGOs and foreign institutions for assuming a major part of work envisaged for a particular line of action
 - **Studies and research at GRADE** in areas related to activities contemplated in the agreement and to be defined jointly by GRADE and USAID on a yearly basis

- d Finally, in the Cooperative Agreement, GRADE is allowed a preparatory period for launching the project, including the identification of recipients of small and medium sized grants, the definition of criteria for evaluating grant requests, the identification of subcontractors, and the establishment of specific organizational and reporting arrangements To carry out these activities, the support of experienced national and international consultants in the fields relevant to project activities are also included in the agreement

However, there is another side to Project Design that weakens the flexibility issue and involves the project implementation schedule A first problem deals with initial "start up" activities Even though the CA was executed on September 29, 1994, the first annual work plan was set to be submitted to USAID/Peru no later than December 1, 1994 The allowable time for key personnel selection and hiring (including USAID approval), definition of activity priorities, consultations by experts, budget preparation, definition of criteria for selection of grantees, preliminary identification of possible sub-grantees and subcontractors, and so on, had to be accomplished within a very short time period

A second problem dealt with GRADE's initial capacity to identify and recognize possible grant recipients in the Peruvian NGO community GRADE was an appropriate selection in terms of its capacity to administrate major donor programs and its wide recognition as a serious research and policy design institution, including its program on governance and development It did not, however, have direct experience in the world of those NGOs which are more action-oriented and dedicated to political advocacy GRADE was a wise and prudent selection given the highly sensitive character of the project activities, yet it needed more time to become familiarized with another part of the NGO community

III PROBLEMS ON THE DEMAND SIDE

There is an essential underlying assumption that was present in both PARDEM Project Paper and the Civic Awareness Project the existence of a recognized and prestigious NGO community with the capacity and ability to address institutional reform, civic education and popular participation This community would represent the "demand" for GRADE Civic Awareness funds There are some central problems in this assumption

- a The definition of NGO is not clear in project design. Sometimes it is used as a synonym for civil society organizations. "The Project seeks to enhance the ability of the local NGO community (mothers' organizations, community organizations, etc.) to represent the needs of the population to the government" (PARDEM Project Paper, page 12). While in other sections, NGO refers to non-profit organizations, to what some authors call "intermediary NGOs" or political advocacy organizations.
- b The "intermediary NGO" community is very heterogeneous, but those institutions with a greater contact with the poor, women's groups, labor unions, and other grassroots organizations, did not normally have civic awareness and citizen education as a priority. Because of changes in international funding criteria, many of the NGOs that directly dealt with political issues in the past, have now passed to promote popular participation in concrete development projects: survival organizations, employment generation, credit programs, sanitary infrastructure, and so on. In a sense, the Civic Awareness Project had to "create" a demand.
- c Only a few Peruvian NGOs could actually implement programs in the "institutional reform" line of action. Most NGO experience in the area has dealt with local and regional governments, yet this was not contemplated in the PARDEM project since USAID had another project dealing with this problem area. The same occurred with civic awareness programs dealing with human rights issues.

IV GENDER CONSIDERATIONS

In quantitative terms, in the PARDEM Project Paper there is only one paragraph dealing with Gender (point 6 in the Social Soundness Analysis, page 35), and it is mentioned in passing in three other passages of the Paper. In the CA with GRADE, it is only mentioned in one of the Lines of Action: C Promoting Agreement and Consensus.

It is in the Gender discussion (page 35) of the PARDEM Project Paper, where most of the substantive issues are discussed. Firstly, it clearly indicates that policies affect women differently from men, yet there is no call to incorporate a gender perspective when addressing the different issues or implementing the diverse Lines of Action. Secondly, it stresses that women are clearly under-represented in government decision-making processes, although they have an essential role in socialization and transmitting the benefits of democratic practices to their children. Thirdly, for these reasons, it states that the project will seek to promote the inclusion of women and women's groups in democratic processes.

In programmatic terms, this inclusion is only mentioned in two of the three possible Lines of Action: in promoting agreement and consensus by funding NGOs dealing with Gender issues (page 7, Attachment 2, GRADE CA) and in leadership training for women (page 13, PARDEM Project Paper). This essentially means that

women's issues are to be mostly treated at the civil society level and by working with those NGOs dedicated to a gender perspective or women grassroots groups. In other words, gender issues seem to be relegated to those sectors in society that already work on the issue and there is no proposal for its incorporation in other sectors and areas of governance or popular participation. This somewhat limits the attention given to gender issues in the project. There is no mention, for example, in how it should be worked with Congress or the Press, sectors of society which urgently need to be sensitized to the gender issue.

IV RESOURCES

Civic Awareness Resources are sufficient if it is assumed that this is a pilot project and that its goal is to experiment with different forms of interventions so as to explore those activities with greater impact and sustainability. This is partially assumed in the PARDEM Project Paper when discussing Socio-Cultural Feasibility.

"Authoritarian patterns of behavior that are the legacy of centuries of Peruvian history will not be converted to democratic behavior in the course of one project. As the Project proposes to attack these patterns on a number of fronts, nonetheless, major progress towards that goal is feasible" (page 34)

The original Project Design, nonetheless, tends to disperse available funding by including a large amount of activities and sub-activities which must be attended:

- a Institutional reforms with three sub-activities: Executive and Congress, Decentralization, Political Parties, Civil-Military and other studies
- b Promoting a culture of democracy with three sub-activities: School Curriculum, Information Campaign, Journalism
- c Promoting agreement and consensus
- d Leadership training

The amount allowed, approximately US\$820,000 a year is not sufficient for attending all of these areas. Especially when some of the activities are related to major political systems such as Congress, the Executive and the military. Civic awareness and education is a medium to long-term prospect. In this sense, impact can only be measured within a time frame that clearly surpasses the modes of assistance included in the project design. Most of the funding goes to small and medium sized grants with durations that oscillate from a few months to a year. Therefore, the project design clearly targets NGOs with the institutional capacity to continue projects activities until it is assumed by government institutions and civil society organizations. Under these considerations, it is difficult to actually ascertain how much of the merit in the impact attained "belongs" to USAID supported activities or to the capacity of the grantee to successfully secure continued funding.

Chapter 2 IMPLEMENTATION OF THE CIVIC AWARENESS COMPONENT

Scope of Work

"Review and analyze the overall effectiveness and impact of the civic awareness component as implemented. In so doing, answer the following questions

- Do the various lines of actions and modalities provide a coherent and inclusive approach to addressing the issues and achieving the objectives? Are the specific interventions and actions both necessary and sufficient (including their assumptions) to obtain the results? Is the relationship between inputs and results reasonable? Are the inputs being used efficiently?
- Is the overall cost of the civic awareness component reasonable in relation to the results and impact obtained to date and the likely results and effects to be obtained by the end of the activity?
- Are the prospects for sustainability of the types of activities supported by the component and cost-effectiveness reasonable with other alternatives?
- Were the areas of focus for each of the annual plans appropriate and did they address the highest priorities for the civic awareness component?
- Are the indicators for the civic awareness component as a whole well-defined with respect to quantity, quality and timeliness? Is there a nexus with indicators developed for individual activities?
- Were gender considerations adequately addressed during implementation of the civic awareness component?"

Note Some of the questions raised for this section are similar to the ones presented for the Sub-grant program (next Chapter). In order to avoid repetition, the main objective of this chapter will be to examine overall project implementation, placing essential weight in the planning of activities, the implementation of these plans, the reasonableness of overall cost, and the issue of sustainability. All queries concerning project impact and indicators will be addressed in the next Chapter (Sub-grant program)

Introduction/Summary

Given the flexibility in the lines of actions to be implemented, as well as in the modes of assistance, GRADE had to rapidly develop and apply a wide array of criteria in order to decide and select

- The most appropriate lines of actions given the social and political context
- The identification of the implementors of these lines of action

- The translation of lines of actions into specific projects with results and activities with significant impact in promoting participatory democracy
- The specification of the most appropriate mode of assistance (small to medium size grants, subcontracting) that fit each type of project
- The design of appropriate means for monitoring results, measuring impact and evaluating outputs (results)
- The design and selection of research and studies to be conducted at GRADE which would significantly contribute to the civic awareness project

In general terms, after a troublesome initial phase, GRADE has been capable of meeting these challenges. This conclusion is the result of the following observations

- 1 Annual Plans and their Implementation The first annual work plan for 1995, was mostly descriptive in nature and applied all lines of action contemplated under Civic Awareness. As a result, there was some dispersion in the activities implemented, as GRADE tried to reach both political elite and the grassroots and government institutions and civil society. However, this initial implementation permitted the evaluation of those activities and lines of action with greater civic awareness potential given political context and available resources. In 1996, the lines of action were narrowed down to two: civic education and leadership training, achieving greater specificity and synergy among activities and institutions, and focusing type of impact expected. As GRADE became more "comfortable" and secure in its role as an "umbrella" organization, it was also capable to more than double incoming grant requests, incrementing project portfolio and enhancing selectivity.
- 2 Overall Cost Effectiveness After an initial high administrative cost due to "start-up" activities, GRADE has managed to reduce administrative costs to a reasonable rate when compared to Peruvian NGO standards. The relationship between inputs and outputs is also reasonable. The thirty-four funded projects have reached close to 70,000 direct beneficiaries through their different activities. As an "umbrella" organization, GRADE managed these results by adequately relating sub-grantees' competitive advantages with civic awareness goals.
- 3 Sustainability The two year period under evaluation is not sufficient to thoroughly examine the extent to which project activities are sustainable in the mid to long term range. However, GRADE has attempted to meet this issue by funding ongoing NGO and civil society initiatives, where civic awareness is part of the mission and value system of the implementing organizations and their beneficiaries.

These three areas will be examined in detail in this chapter. Special attention is to be placed in explaining the important transitions in project implementation and how obstacles and difficulties were addressed.

I THE WORK PLANS AND THEIR OVERALL IMPLEMENTATION

According to the Cooperative Agreement, GRADE shall prepare "Annual work plans which will include detailed information on planned activities and financial resources needed to implement them indicating budgeted and actual expenditures by line item, and the status of advances and liquidations" The Program Description (Attachment 2 of CA) also states that the annual work plans

- will provide more specificity in the choice of interventions among the four Lines of Action or Project Activities (page 2),
- will specify the studies and research conducted by GRADE under the Civic Awareness Component (page 11)

In the period under consideration there were three work plans The first corresponds to a "start-up" plan and covers the last quarter of 1994 The other two are the annual work plans for 1995 and 1996

1 The "start up" plan (October-December 1994)

The Plan addresses three areas necessary for launching the project (a) securing necessary infrastructure (office space) and equipment, (b) selection and hiring of key personnel, especially the Project Director and the conformation of the Advisory Committee and the design of the 1995 Work Plan, (c) contracting studies with external experts on significant aspects of the four Lines of Action contemplated in the Cooperative Agreement The three-month period proved to be too short to adequately address all the issues, leaving much of the major decisions for 1995

2 The 1995 Work Plan

Because of the short time period between the signing of the Cooperative Agreement and the deadline for submitting the first annual work plan, not much could be expected in terms of GRADE's capacity to focus and concentrate efforts Therefore, the annual work plan is only a slight modification of the "Program Description" (Attachment 2) of the Cooperative Agreement, with a few specific suggestions of possible sub-grantees and sub-contractors

a Lines of Action

This Plan had to be prepared before GRADE could adequately process the studies contracted to external experts Only one of the studies, that corresponding to activities with the Peruvian Congress, was ready by December and many of its suggestions were included in the plan Of the rest, three were ready by January, one by February, one by March, and the last by April Therefore, little input was available at the time the Plan was elaborated, though later on some of these studies will be of great assistance in project implementation

In general terms, more than a plan, the 1995 document was a description of possible activities, initial contacts, and potential implementors. Apparently USAID/Peru accepted this descriptive character, because of the exploratory nature of initial implementation. Thus, the Plan did not address explicit annual project objectives and the ensuing strategies for their achievement.

- 1 Country context was not examined so as to assess the potential opportunities of implementing certain activities and not others
- 2 Annual project objectives were not presented, although Plan purpose was to "give priority to the support of ongoing initiatives that are in conditions of showing satisfactory initial results and that require additional financial support in order to consolidate significant contributions to a general project of strengthening democracy in Peru" (page 1, my translation)
- 3 GRADE decided to implement all the project activities (institutional reform, culture of democracy, consensus building, and leadership training) without due consideration to the possible dispersion and the possibility of building synergy
- 4 There was no consistent presentation of the different Project Activities and the specific actions to be supported. In some of the Project Activities (specifically Legislative reform) objectives, lines of action, activities, work plans and budgets are specified. In others, there is only direct mention of the activities (civil-military relationships) and potential sub-grantees

b Implementation

The main purpose of the 1995 Work Plan was to identify and support initiatives in the three of the four lines of action: institutional reform, culture of democracy, consensus building. Possible activities in the fourth line, leadership training, was to be analyzed during the year. Table 2.1 examines in quantitative terms, the number of initiatives processed during each semester of 1995.

**Table 2.1
PROJECTS REVIEWED, REJECTED AND APPROVED BY SEMESTER - 1995**

SEMESTER	PROPOSAL STATUS BY END OF SEMESTER				APPROVED AMOUNT (soles)
	In review ¹	Rejected ²	Initial contact	Approved ³	
1995-I	10 (7)	2	3	6 (1)	728,635
1995-II	4 (1)	5	5	9 (6)	461,900
TOTAL				15 (7)	1,190,535

¹ In parenthesis: the number of proposals in review that were eventually approved

² Includes proposals rejected by either GRADE or USAID/Peru

³ In parenthesis: the number of projects in the "small grant" category

Approximately thirty five to forty initiatives of all types and forms were processed during the year, committing 79.3% of total available funds in the fifteen approved projects. Since a majority of the projects were approved in the second semester, more than fifty percent of 1995 total funds (53.4%) or 801,063 soles had to be transferred into the 1996 budget. In terms of mode of assistance, forty seven percent were in the "small grant" category, and the rest in the "mid-sized" category.

When comparing planned support of activities with actually approved projects (see Table 2.2), only "institutional reform" received its estimated budget allocation. Two of the three counterparts (APOYO and INIDEN) received 91% of the approved funds for "institutional reform" and had been already identified prior to the 1995 Work Plan. Even though "culture of democracy" only received 71% of estimated budget, the projects represented close to 50% of approved budget for 1995. The expenditure in "Consensus building" is only forty four percent of original estimated budget. An explanation was that 1995 was an electoral year and "consensus building" could touch potentially "sensitive" political nerves. Finally, leadership training, which had not been originally contemplated, received close to 9% of approved budget, for a project dealing with labor union leadership and derived to GRADE by USAID.

Table 2.2
Planned and Approved Projects by Lines of Action and Budget (in Soles)

LINE OF ACTION	PLANNED		APPROVED	
	Number of Projects	Estimated Budget	Number of Projects	Approved Budget
Institutional Reform	2	351,440	3	392,451
Culture of Democracy	6	812,000	7	578,723
Consensus Building	5	246,400	4	107,361
Leadership Training	0	0	1	112,000
Miscellaneous	small grants	90,000	----	----
TOTAL	13	1,499,840	15	1,190,535

In terms of beneficiaries, seven of the projects clearly targeted either the political elite (Congress, military, political parties, local authorities) or the intellectual elite and opinion leaders (researchers, academics, media). These projects were APOYO

with Congress, INIDEN and CEPEI with the military and civil elite, Carta de Lima with local government, business leaders, important grassroots leaders, CERP with political actors and academic circles, IPYS with media owners, editors, reporters, Foro Educativo with academia and professionals in the educational area, and ADEC-ATC with government authorities and functionaries, intellectuals, professionals and NGOs working gender issues. These projects accounted for 57% of total committed budget (673,276 soles)

The remaining projects targeted diverse civil society and grassroots organizations (a) labor unions with 9% of committed budget (IADSL), (b) teachers and students with 19% of committed budget (CIDE and TAREA), (c) local and regional elite and grassroots leaders with 6% (Minga, Surco, Peru, Vida y Paz), and (d) grassroots women organizations with 10% (CALANDRIA). Gender issues were directly dealt with in three projects (CALANDRIA, ADEC-ATC and TAREA)

In a sense, then, the 1995 implementation tried to reach both elite/opinion leaders and grassroots organizations. This, however, led to certain dispersion of activities, especially in the activities oriented to the elite, because they did not establish permanent and continuing "spaces" for democratic debate and consensus building. Most of the activities were "one-shot" affairs without an agenda for continuing action. Activities among the grassroots, on the other hand, were more focused because they either corresponded to specific organizations or institutions (schools, labor unions, church groups, women's organizations) or had a set agenda for consensus building, normally regional planning.

During 1995, plan goals were achieved in terms of identifying and funding ongoing initiatives, although a large percentage of the budget was not committed. In the evaluation of the 1995 Work Plan, several explanations are offered:

- Incoming NGOs proposals were not "up to par" with project expectations because they either did not focus on civic awareness issues as described in the project, or they were deficiently formulated
- Lack of quality proposals forced GRADE to spend more time and resources in reviewing proposals several times, in recommending changes, and so on. Less than expected time was used for proactive approaches and building a demand for civic awareness funds.

Although these are valid reasons, in Chapter 3 and 5, we examine some of GRADE's own project management shortcomings during this initial stage of project implementation.

3 The 1996 Work Plan

The 1996 Work Plan was the result of a long process of discussion and debate between GRADE and USAID. Three versions were prepared. The first was ready by November 15, 1995, the required submittal date contemplated in the Cooperative Agreement. This first proposed plan was too general, without specific mention of the institutions under study, the activities to be carried out, and how

GRADE proposed to support them. Also missing were clear project objectives, expected results and indicators for each line of activity, and the proposals for studies to be conducted at GRADE. The second version was ready by December 21, 1995, and was directly discussed with USAID during January, 1996. A third version was ready by January 31 and only specific observations were forwarded by USAID in early February. This plan, with slight modifications, was finally approved on February 28.

a Lines of Action

The negotiation process for the approval of the 1996 Work Plan, forced both GRADE and USAID to evaluate the scope and specificity of civic awareness in light of the 1995 implementation experience and available resources. The result was a greatly improved document when compared to the 1995 Work Plan and early versions of the 1996 plan.

One of the major decisions in the plan is to concentrate resources in two Work Areas, each with specific lines of activities. In the Plan each selected Work Area has established objectives, and each line of activity is presented with the expected results and general orientations on how to measure impact.

1 **Civic Education (Educacion Ciudadana)** was a major area of activity in 1995 and it produced important results in terms of preparing educational materials, validating them through different means (classroom observation, expert opinion, focus groups, seminars) and contemplating its massive replication. The lines of activity selected were four:

- The elaboration, evaluation and application of educational proposals and materials oriented towards the promotion of democratic values and practices. For this stage, final validation of materials was expected and the initial replication of results.
- The evaluation of national and international experiences in civic education so as to assess their effectiveness in promoting a culture of democracy.
- The identification, strengthening, dissemination, and debate of democratic educational contents in the mass media.
- the strengthening of citizen knowledge and information concerning democratic institutionalality.

2 **Democratic Leadership and Organization (Liderazgo y Organización Democrática)** The crisis of political representation in Peru is one of the main obstacles towards democratic governance. This Work Area addresses this issue by training democratic leaders and supporting the democratic functioning of civil society organizations, especially among the grassroots. The lines of activity presented were two:

- The training and formation of democratic leadership, especially directed towards labor unions, university students, grassroots organizations, and regional organizations
- The strengthening of democratic organization and functions among grassroots organization

Both Work Areas place most of its attention in promoting democracy from below by directly influencing grassroots organizations, teachers, students, professionals and intellectuals in the generation of "spaces" for democracy school, university, labor union, base communities, and so on. There is also a second, though less emphasized, orientation reaching the general public with information concerning rights and responsibilities and democratic institutions. **It is an interesting and coherent proposal that definitely addresses central issues in civic awareness**

In terms of research (see Chapter 4), two of the three proposals addressed the issue of democratic decision making. Firstly, by studying the impact of property, water rights, and natural resources legal reform on peasant communities in Peru and the need to strengthen democratic mechanisms for adapting to these new norms. Secondly, by analyzing the process of decision making in the elaboration of the national educational budget and the possible contribution that decentralization could have on democratizing this area.

b Implementation

In the first semester of 1996, a complex set of circumstances were to affect the appropriate implementation of activities. Many of these events will be examined in detail in the following chapters, but they could be briefly described as the following:

- As examined before, the 1996 Work Plan was approved in February 28, 1996, affecting the selection and approval of projects
- The Civic Awareness management structure was undergoing changes (see Chapter 5) and this caused delay in project selection
- The selection and monitoring process established was inadequate for a growing project portfolio (see Chapter 5)
- USAID/Peru was undergoing a process of strategic planning which would better focus civic awareness objectives (see Chapter 6), yet this process was not adequately communicated or shared with GRADE

These explain the poor showing in project selection and approval rates evidenced in Table 2.3. In the first semester, only three projects (16%) were approved out of the annual total of nineteen and only four percent (4%) of total 1996 funds had been allocated. However, seven of the sixteen projects to be approved in the second semester were already under review during these months. Despite these poor showings, the civic awareness project was not at a standstill. Since more than 67% of the committed funds in 1995 were transferred to 1996, there were a total of 18 projects under execution during the first semester. In the second semester, the project will recover with the approval of sixteen proposals.

Table 2 3
PROJECTS REVIEWED, REJECTED AND APPROVED BY SEMESTER - 1996

SEMESTER	PROPOSAL STATUS BY END OF SEMESTER				APPROVED AMOUNT (soles)
	In review ¹	Rejected ²	Initial contact	Approved ³	
1996-I	11 (7)	4	8	3 (3)	59,600
1996-II	12 (11)	41	n/a	16 (8)	1,344,001
TOTAL				19 (11)	1,403,601

¹ In parenthesis the number of proposals in review that were eventually approved

² Includes proposals rejected by either GRADE or USAID/Peru

³ In parenthesis the number of projects in the small grant category

Approximately seventy to eighty initiatives were examined during 1996, **doubling the total 1995 figure**. This explains the high number of rejections, since the total number of approved projects is only 25% greater than the year before. Of total "fresh" funds for subgrants, 98.9% were committed. In terms of mode of assistance, a greater number of small projects were funded than expected. This was the result of GRADE's decision to support successful projects with small grants during the remainder of 1996, as they prepared larger proposals for 1997.

When comparing planned support of activities with actually approved projects (see Table 2 4), we find that more funds were destined to support civic education, along the four lines of activities, than in democratic leadership. This follows the general tendency in the civic awareness project, for in 1997 close to 60 percent of the approved projects and 75% of the budget are in this area. GRADE is concentrating resources in a major mode of delivery which has potential and will permit a more rigorous evaluation of its impact.

Table 2 4
Planned and Approved Projects by Lines of Action and Budget (in Soles)

LINE OF ACTION	PLANNED		APPROVED	
	Number of Projects	Estimated Budget	Number of Projects	Approved Budget
Civic Education	n/a	840,000	13 (8)	936,696
Democratic Leadership	n/a	720,000	6 (3)	466,905
TOTAL		1,560,000		1,403,601

An important change concerning 1995, is that more weight was given to civil society and grassroots organizations and less to elite/opinion leaders. This is consistent with the concentration on the civic education and democratic leadership work areas. Only two projects were directed to elite and opinion leaders, APOYO with Congress and Raul Gonzalez who was to work in a systematization of civil-military relationships. These projects only represented 6.6% of committed funds, when compared to close to 60% in 1995. The rest of civic awareness beneficiaries were

- Teachers, students, school directors and local educational networks (CIDE, TAREA, CEDHIP, IPA, ISP Tupac Amaru), with 14.5% of committed funds
- Peasant communities and rural areas (CEPES, CIPCA) with 21.9%
- Grassroots women organizations and women's rights (CNC and CALANDRIA - 2 projects) with 4.2%
- "Best practices" of grassroots democracy (IDS-APEP), with 11% of committed funds
- Grassroots leaders (50% women) (Alternativa, 2 projects), with 13.5%
- Labor unions (IADSL) with 9%
- General Public through media and exhibitions (TRANSPARENCIA and Pata de Cabra), with 17.8%
- Racial and ethnic minorities (MPDHN), with 1.3%

Gender issues were incorporated in many of these projects, especially in the educational projects --TAREA specifically tackles the problem of gender relations-- and in leadership training (labor unions and urban leaders). Although there was no set GRADE policy on promoting gender issues. This will be incorporated in the 1997 Work Plan.

II OVERALL COST EFFECTIVENESS

The Participatory Democracy (PARDEM) project and, specifically, the civic awareness component are activities where a "cost/benefit analysis is not practicable or feasible, given the nature and scope of this Project" (PARDEM Project Paper, page 35). What may be examined, however, is whether the cost is reasonable (comparing inputs with outputs), especially when compared to other alternatives. In this section, these issues will be explored.

1 Administrative Costs

One of the main worries in a project where an institution serves as an intermediary or "umbrella" group to third party initiatives, is the administrative cost. The grantor has two main questions: (a) could I do it cheaper myself? and (b) if not, could someone else besides my present recipient be more cost-effective? It is difficult for the evaluator to answer the first question because he has no information on USAID costs. However, USAID's decision to enter a Cooperative Agreement was based on other considerations besides monetary costs.

- The nature and scope of the project was politically sensitive and direct implementation by an official agency of the U S Government could be difficult
- USAID did not have the necessary knowledge and contacts with the NGO and civil society community to implement the project
- USAID was interested in reaching a greater number of NGOs without the possible problems arising in the direct selection, rejection, and approval of projects. The umbrella organization would serve as a "filter" between the NGO community and USAID

This leaves us with the second question, concerning other alternatives besides GRADE. In order to answer this question, a first step is to examine in general terms the cost of the project. In Table 2 5, the initial budget is compared to the final budget for the period covering September 29, 1994 to January 31, 1998

**Table 2 5
Initial and Final Civic Awareness Project Budgets (US dollars)**

	INITIAL BUDGET		FINAL BUDGET	
	US \$	%	US \$	%
Project Activities	2,460,000	68	2,125,548	71
Administrative Costs	948,628	26	716,850	24
Equipment	53,544	1	117,189	4
Audit	137,828	4	40,413	1
TOTAL	3,600,000	100	3,000,000	100

Even though the final budget was 16% lower than the initial one, GRADE managed to reduce administrative costs and increment the relative weight of project activities. This is to be a constant in the implementation of the project: administrative costs, after a high "start up" rate, will diminish as the incorporation of adequate mechanisms permit a more efficient project management (see Chapter 5). In Table 2 6, the three annual budgets are compared

Start up costs tend to be high in "umbrella organizations" because it implies an important expenditure in establishing mechanisms for the identification and selection of subgrants and subcontracts. As it was examined before, in the first 15 months (94-95) of the project, there was a low rate of project approval, a high rate of uncommitted funds for project activities (21%), and a high rate of approved funds that had to be transferred to 1996 because of late approval. This was reversed and, as the ability to assign funds was enhanced, these costs were to decrease in 1996 and 1997

Table 2 6
Annual Budgets for the Civic Awareness Project (US dollars)

	Sept 94	Dec 95	1996		1997	
	US \$	%	US \$	%	US \$	%
Project Activities	330 117	45	650 091	70	1,082,295	81
Administrative Costs	302,869	41	254 575	27	222,194	17
Equipment	101,651	14	15,772	2	0	0
Audit	0	0	10,424	1	30,000	2
TOTAL	734 637	100	930,862	100	1,334,493	100

Administrative costs have gradually been reduced, reaching a reasonable rate towards the third year of project implementation and it is within the rates of other NGOs in Peru which oscillate between 15 to 25% These are minimum rates in order to assure proper project administration, considering the strict guidelines of USAID These costs are much lower than the USAID negotiated rates for private consultant firms which include overhead, fringe benefits, general and administrative costs, and fees, but that are not permissible for non-profits It is expected that due to GRADE's acquired knowledge and experience, it could continue to maintain administrative costs to within 20 to 25 percent of total budget

2 Cost Effectiveness Relationship between inputs and outputs (results)

A second step in measuring cost-effectiveness is to compare inputs with outputs This has to be done through comparisons which are ad-hoc with the type of project and activities implemented Given the nature and scope of the civic awareness project, the most pertinent comparison is within the Peruvian NGO community This project could only be reasonably implemented by either a funding agency --and this has already been discarded as an option-- or institutions which are intimately related to grassroots development and can actually reach the poor and disenfranchised, that conduct research and prepare policy proposals which connects them to political authorities and actors, that have experience in consensus building and advocacy, and so on

Table 2 7 summarizes the outputs of the first two years of the civic awareness project Specific details concerning several of the table cells will be explained in the next Chapter on the sub-grant program, as well as establishing criteria for measuring project impact The interest at the moment is to have a bird's eye view of the different products and outputs secured through civic awareness funds The list is impressive, considering the total beneficiaries, the number of events, courses,

Table 2 7
Performance and Output Indicators
1995-1996

CATEGORIES	INDICATORS	
Total proposals reviewed	110 to 120	
Total projects approved by size	Small	18
	Medium	12
	Large	4
	TOTAL	34
Total estimated beneficiaries by social group (further details in Table 3 1)	National Elite /Opinion Leaders	2,746
	Military	1 242
	Media	556
	Labor Unions	1 379
	Regional Elite/opinion leaders	4,407
	Teachers	6,004
	Students	30,750
	Grassroots organizations	6,249
	General Public	14,500
	TOTAL	<u>67,833</u>
Total estimated activities	Events (expos) 16	Conferences 19
	Workshops 49	Meetings 3
	Seminars 30	Radio Programs
	Fora 3	- aired weekly 24
	Focus groups 7	aired once 4
	Surveys 2	Contests 4
Training/ Educational materials and publications	Books 8	Copies 5,200
	Bulletins 34	38,997
	Guides 2	2,000
	Fascicles 6	6,000
	Training modules 11	
	Training Videos 1	
	Event videos 3	
	Information videos 1	
	TV spots 9	80 airing
	Radio Spots 8	504 airing
	Development Plan 2	
Research and Studies	Research at GRADE	8
	Studies by external experts	7
	Studies by sub-grantees	8 published
		4 unpublished

seminars, and workshops, the materials and publications, research and studies conducted, and the geographical areas covered. These could be considered as a gross estimate of civic awareness outputs.

It is unlikely that a single NGO with equivalent funding could achieve the same outputs. The budgeted amounts for the first two years were \$734,637 and \$930,862, which is similar to the budget of a mid to large sized Peruvian NGO. Examples would include GRADE itself, which in 1995 had a budget of approximately \$800,000 excluding the civic awareness project, and conducted 21 research projects, published two books and three working papers, and organized four seminars. Centro Flora Tristan, a feminist NGO, had a budget of approximately \$980,000 in 1996, implementing a large institutional project and 10 discrete projects. CIPUR manages a budget of approximately \$600,000, with three projects in Lima and one in Ica, plus occasional technical assistance.

These comparisons, however, are not totally fair because they do not take into account differences in the projects themselves. Some have a high expenditure in generating knowledge which could have a direct effect on policy issues affecting large portions of the population. Others have demonstrative development projects (urban renewal, sanitation) which consume important monetary investments and could eventually be incorporated into state or private sector investment programs. But the main issue still holds in the sense that a project of the nature and scope of civic awareness is capable of mobilizing important resources and capacities that are present in the environment but that need additional resources in order to accomplish a quantitative and qualitative shift. Civic awareness tends to build upon established institutions which have accumulated an important experience in their respective field. This permits diversity and the comparison of different modes of delivery. In order to reduce cost per activity and secure greater outputs, the civic awareness project as conducted by GRADE takes into consideration the competitive advantages of the selected institutions. This is accomplished by

- Supporting ongoing activities and/or existing lines of action of the counterparts, so that part of the implementing costs are assumed by the latter. This is included as part of the requirements for the approval of a proposal.
- Emphasizing activities that have a high component of voluntary work but need "seed" funds in order to be more effective.
- Taking advantage of the low personnel cost in NGOs which receive salaries that are well below market levels.
- Creating an opportunity for the publication and dissemination of research findings, systematization, and other materials previously prepared with other funding.
- Reducing NGO project pre-investment costs (formulation, design, and negotiation of grant proposals) through a proactive approach in project selection and assisting in proposal preparation. It takes a NGO approximately 18 months to negotiate a project with a new funding agency, and this has been reduced to an average of three to five months.

- Focusing on sub-grants and subcontracts with Peruvian non-profits which have a lower operational cost than international consultants

The relationship between inputs and outputs is more than appropriate, especially considering that administrative costs have been substantially reduced in comparison to activities cost

III SUSTAINABILITY

The questions for this section are the following What measures --if any-- have been taken by GRADE in order to guarantee the sustainability of the supported activities in civic awareness? What probability exists that the activities will be continued after project life?

The answers to these questions are not simple or straightforward The evaluation of only two years of project implementation can only give us general leads, especially when dealing with the mid and long term sustainability prospects What is possible, however, is to examine the efforts realized by GRADE to assure sustainability and examine if they are consistent In general terms, the evaluator has found --through the examination of projects funded and interviews with counterparts-- that GRADE seeks sustainability through the following means

- 1 The most basic level of assuring sustainability is through the funding of NGOs that have worked and will continue to work civic awareness issues In other words, civic education and participatory democracy are part of the organization's value system, mission and strategies In practical terms, it is expected that the NGO's own survival depends on its ability to continuously secure funding in this area
- 2 A second method is by introducing civic awareness concepts, attitudes, and practices into the workings of vibrant and active grassroots and civil society organizations methods of conflict resolution in labor unions, knowledge of rights and means to exercise them with women's organizations, among others The goal is to demonstrate the merits of these mechanisms in increasing their efficiency and effectiveness It is expected that these organizations will continue to exist in the near future and will continue to apply the lessons learned
- 3 A third method is by identifying mid to long term structural reform processes in Peruvian society which will merit citizen participation in guaranteeing their effective and equitable implementation land, water rights, and natural resource reform and its effects on farmers, for example The main issue is to reverse political and economic exclusion of the poor and disenfranchised and incorporate them to the benefits of structural reform These reforms will be a permanent fixture in Peruvian society and it is expected that civil society groups will have to continuously address its implications and reach the proper decisions

- 4 By introducing or strengthening civic awareness contents and issues among socialization agents and institutions school curricula, women organizations, mass media, military schools This is a long-term bet but which could have the greatest impact if the methods proposed are actually incorporated and used by the different institutions and its members
- 5 Through the introduction of legislative and policy proposals at both central and local government levels, that create new channels for citizen participation and for exercising their rights and responsibilities (Congress, decentralization, participatory planning, gender issues with The Ministry for Women, and so on) Even though political institutionality is weak, the civic awareness project has gradually addressed those institutions which are permeable to change (education, gender issues and women's rights, ombudsman, and so on) and in issues which are gaining ground in political discussion (especially women's rights)
- 6 By sensitizing funding agencies on the importance of civic awareness issues in order to increase projects and support

These measures are consistent and realistic in attempting to guarantee sustainability, especially when several of them are combined in the funded projects Thus, for example, many of the NGOs committed to civic awareness also work with strong grassroots organizations so as to transform them into effective democracy socialization agents (work with women's groups, peasant communities, labor unions) NGOs working in civic education, attempt to sustain their action through direct work with teachers and students, at the same time they prepare materials for dissemination and sign agreements with the Ministry of Education or Pedagogic Institutes in order to incorporate civic awareness into curricula and teacher training programs Other institutions have increased citizen's knowledge of rights and responsibilities and on the mechanisms for exercising them by directly working with the government institutions directly in charge of addressing them (women's rights)

Chapter 3 SUB-GRANT PROGRAM

Scope of Work

"Review and analyze the overall effectiveness of the sub-grant (including sub-contract) program. Review and analyze the design and implementation of the individual activities, including impacts attained, reasonableness of costs, and possibilities of replication in other regions of the country. In so doing, answer the following questions

- Is there a clear theoretical framework on which the strategy and the modus operandi of the sub-grant program is based? Has this been adhered to during implementation of the program?
- Is there a clear definition of the role to be played by the NGOs in democracy development --particularly civic awareness-- and what their functions must be?
- Have there been positive and relevant results? What are they? Up to what point has compliance with plan specifications been attained? Why or why not?
- Have recipients of sub-grants been selected in a rational, objective matter? Did selection result in implementation of activities most likely to have lasting and real impacts that promoted the objectives of the civic awareness component? Were any synergies developed among individual activities?
- Are the results reasonable in terms of cost?
- To what degree have objectives been achieved and what is the outlook for the overall activity? What other achievements have been accomplished?
- For the sub-grant program as a whole, are there procedures for the internal evaluation of results, cost and strategies, and are they adequate and useful?
- Are there well established indicators at the individual activity level, do they accurately measure progress and impact and do they correlate with the overall objectives of the sub-grant program and the civic awareness component?
- Have the obstacles which hinder success towards the objectives been identified and addressed? If not, why not?

Introduction/Summary

The sub-grant program directly responds to both goal and purpose of the PARDEM project by supporting activities that strengthen civil society initiatives in fostering democratic values and practices among different social and political actors in the country. In the original budget, the program represented close 56% of the total

amount, plus a significant portion of the administrative costs In operational terms, under the Cooperative Agreement, GRADE assumed major responsibility in

- Receiving and analyzing counterpart project proposals, informing USAID/Peru of the contents of proposals and approving them, within the consultative process agreed upon with USAID
- Sign agreements with selected counterparts, specifying responsibilities, project goals and objectives, expected outcomes and monitoring and evaluation plans
- Carry out financial and progress monitoring, through a monitoring plan and system to measure progress toward the Civic Awareness objectives

As examined in the previous Chapter, during 1995-1996, GRADE examined close to 110 proposals, approving 34 projects implemented by 26 institutions The selection, monitoring, outcome performance and evaluation of these projects is the subject matter of the present Chapter A summary of the findings to be discussed is the following

- 1 **Theoretical Framework** The sub-grant program was based on the central assumption that private, non-profit organizations should lead the promotion of civic awareness Grants should be directed to those organizations with ongoing activities which had already achieved significant results and impact This framework has been mostly adhered to during 1995-1996 and sub-grant funds were destined to either improve or enhance these initiatives
- 2 **Role of NGOs** The NGO community was defined under Peruvian usage, as non-profit organizations whose mission is to promote development processes The main competitive advantages of these organizations are that they effectively reach the poor and politically disfranchised, use creative and alternative approaches, and are committed to empowering civil society Their main drawbacks are difficulties in "scaling up" their initiatives and achieving society-wide impact
- 3 **Sub-grant selection criteria** First year projects were selected from a "pool" of NGOs whose work was known by USAID/GRADE, somewhat limiting the number of initiatives examined and the ability to concentrate resources, disseminate the program, and reach institutions outside of Lima In 1996, there is an effort to concentrate resources and impact by limiting the lines of action to be funded and focusing on a "bottom-up" approach Greater selectivity of initiatives was assured by assuming a proactive approach and reaching a greater number of possible candidates for funding
- 4 **Major Results and Achievements** Funded projects have reached close to 70,000 direct beneficiaries, though most --an estimated 80%-- have been involved in project activities where they only received information or were sensitized to democratic issues It is difficult to assess the lasting impact of civic awareness in this population However, more than 12,000 participants were actively involved in training and educational programs having a direct bearing on their daily occupations and lives Major results have been

obtained within the educational sector, through programs focusing on generating democratic coexistence within schools and curriculum changes in the system

In qualitative terms, the sub-grant program has successfully explored and implemented different means for introducing civic awareness and education in the workings of diverse institutions and publics media, schools, grassroots organizations, and general population. In the process, it has strengthened NGO community capacity to address democratic governance

- 5 **Program Indicators and Evaluation** GRADE has achieved major progress in monitoring the efficient use of program resources and in monitoring outcome performance. There are still deficiencies, however, on measuring program impact and sustainability

I THE THEORETICAL FRAMEWORK

When examining theoretical frameworks in program evaluations, these may be distinguished into two major types: normative and causal. Normative theory is a framework for defining what the program should be, while causal theory describes the causal links between actions and outcomes. Given the exploratory character of civic awareness in Peru, the theoretical framework was mostly "normative", in the sense that it established what and with whom the program should be developed

- a The promotion of civic awareness, defined as empowering citizens in exercising their democratic rights and responsibilities and government's capacity to respond, should be led by the private sector, especially NGOs, which " must understand its role and responsibility and be able to effectively put pressure on and interact with public sector institutions" (PARDEM Project Paper, page 9)
- b There are important and prestigious local NGOs which are already "on the scene", and USAID/Peru has supported some successful initiatives clearly showing " what can be achieved through the NGO community" (PARDEM Project Paper, page 8) The sub-grant program seeks to enhance the ability of these "political players"
- c The priority of the sub-grant program, at least in its initial phase, is to support " those ongoing initiatives that are in condition to show satisfactory initial results and that require additional financial support in order to consolidate significant contributions to a general project of strengthening democracy in Peru" (1995 Work Plan, page 1, my translation)

These initial guidelines have been mostly adhered to during the implementation of the program. Civic Awareness sub-grants have been mainly granted to the private, non-profit sector, have supported existing and recognized institutions which already had significant progress in one of the lines of actions and were involved,

at the moment, in the implementation of specific civic awareness programs. The main challenge for the future, however, is to establish clear **causal frameworks**, based on the systematization of supported activities, including studies and research at GRADE. Some headway has been made in this sense during 1996-1997, due to the greater relationship between research and action-based programs (refer to next Chapter on research) and in the lessons learned through comparative studies, as evidenced in the International Conference on Civic Education organized by GRADE and held during the course of this evaluation (August 6-8, 1997).

II ROLE OF THE NGOS IN CIVIC AWARENESS

There is no distinct GRADE document pointing out the role of NGOs in civic awareness, therefore most of the analysis in this section is what the evaluator has inferred from indirect and loose references in documents and from interviews with project directives and managers.

Firstly, the term NGO is used by GRADE in the Peruvian sense and refers to non-profit private organizations predominantly constituted by professionals and intellectuals, which have as their goal the promotion of development, either through research, policy initiatives, or direct work with the grassroots or other forms of civil society organizations. Grassroots organizations are not considered part of the NGO community and are referred to in Spanish as "organizaciones de base" (base communities) or "organizaciones populares" (popular organizations). Likewise, other private sector non-profit organizations are excluded from this definition of the NGO community: universities, health care, PVOs, and so on.

Secondly, NGOs have as their main mission the promotion of development through the transference of knowledge and expertise, be it through policy driven or action research, training programs, participatory planning, pilot development projects, technical, economic and social assistance, among others. In other words, most NGOs adhere to processes of empowerment, so as to guarantee the sustainability of their action and assistance.

Thirdly, NGOs reach the grassroots, especially the poor and politically disenfranchised, more effectively than the government or other civil society and private institutions. This is part of their mission, either directly through grassroots based activities or indirectly by promoting sustainable development, defined as a process which combines economic efficiency, equitable access to opportunities and the protection of the environment.

In terms of democracy development and civic awareness, GRADE recognizes that the main functions of NGOs are:

- Consensus building. NGOs are particularly well positioned in society to promote the convergence of different social and political actors. They sustain connections to grassroots organizations through development programs, to academic institutions through research and teaching, to government agencies through policy proposal and collaborative programs,

- international donors as consultants, partners, designers and implementors of programs, and recently, to the private business sector
- Training and education Through their participation in grassroots based programs, NGOs have the capacity to identify the major problems in the promotion of democratic values and practices in civil society organizations. This allows the possibility to develop training and educational programs which adequately address and, hopefully, reverse these situations
- Political advocacy NGOs are "value ridden" institutions, their mission is to support social, political, and economic change. Essential political issues such as women's rights, human rights, environmental protection, decentralization, and social housing are defined and opened for public debate by these institutions. Their links through networks and associations with other Peruvian and international NGOs, also permit the exchange and comparison of perspectives, policy contents, methodologies, and projects
- Technical assistance Many NGOs have the expertise for promoting more effective organizational structures and procedures for meeting the objectives and needs of participatory democracy. Likewise, they have the capacity to translate citizen's demands into feasible development programs, be it through the private or the public sector

GRADE personnel also recognize weaknesses in the NGO community. Among the most important are (1) their difficulties in "scaling up" from pilot and localized projects to regional and national policies and programs, (2) their dependence on international funding, its changes in priorities, available resources and strategies (3) their lack of specialization and technical expertise. In this sense, when implementing the sub-grant program, special attention was placed on securing participant NGOs that had the capacity to overcome these weaknesses (see Sustainability section in the previous Chapter)

III PROJECT SELECTION CRITERIA OBSTACLES AND EVOLUTION

The Civic Awareness Program Description is not very specific concerning the selection criteria for analyzing sub-grant and subcontract proposals. The main guidelines were the following:

- Fall within the scope of interest of the four major lines of action
- The need to focus and concentrate resources on activities with maximum possible impact, given the wide range of lines of action
- Adopt a careful balance between proactive and responsive project management, so as to avoid the dispersion of efforts
- Select feasible proposals within the range of the established modes of assistance (small and mid-sized grants, subcontracts)

In the 1995 Annual Work Plan, the selection criteria were mostly based on the established modes of assistance.

- Small grants (maximum US\$15,000) Targeted implementors were private, non-profit organizations without political party affiliation. The selection criteria were three: (a) Specific activities that contribute to strengthening democratic initiatives in the established lines of action, (b) Fifty percent of small grant funds to initiatives outside of Lima, the remaining fifty percent to support other activities according to "demand", (c) A minimum of twenty percent of total activity cost to be supported by sub-grantee.
- Mid-sized grants (from US\$30,000 to US\$70,000) Targeted implementors were private nonprofit organizations without party affiliation, with ample experience in strengthening democratic institutionalization and citizen participation. Selection criteria: (a) Importance of proposed issue, intrinsic quality of the proposal in function of project objectives, institutional capacity to manage project, (b) Qualified personnel and publications in proposed activity and administrative capacity for financial management, (c) a minimum of twenty percent of total funds to be supported by sub-grantee.

Given the highly sensitive character of the project activities and their political implications, in this initial selection phase there are also "hidden" criteria. One of the most important "hidden" criterion was previous work with either USAID or GRADE, which gave assurance with respect to seriousness of the institution.

During the first year of project implementation (1995) these general criteria were adhered to and had the following characteristics:

1. Most of the proposals were received as a result of institutional and/or personal requests either from USAID/Peru or GRADE, in a clear, but limited, proactive approach in identifying projects. This is understandable, given that the civic awareness project was still not known and there were pressures for rapid implementation of the sub-grant program. Of the fifteen approved projects, at least fourteen were identified and selected with this approach and derived in the following manner:
 - Through direct referral from USAID/Peru due to previous work with the NGO and specialization in one of the lines of action: INIDEN in civil-military relationships (included as a possibility in PARDEM project paper), APOYO in legislative reform, IADSL in labor union leadership training, CERP in consensus building.
 - Derived by USAID/Peru due to knowledge of its initiatives: CALANDRIA, civic education and leadership training through courses and mass media.
 - Recommended by external consultants hired by GRADE: CIDE, TAREA, Foro Educativo, and Peru, Vida y Paz, for civic education and awareness under the Culture of Democracy line of action, IPYS, recommended for work with journalist and media owners.
 - Initial contact and recommendation by different members of GRADE's civic awareness organizational structure: MINGA, Consorcio Surco, and Carta de Lima, for their work in participatory planning and

consensus building at the local/regional level, CEPEI, in civil-military relationships

2 Notwithstanding the ability of GRADE to select prestigious NGOs for immediate project implementation during the first months of the civic awareness components, it was not able to simultaneously respond to other essential aspects in any selective process

- **CONCENTRATION OF RESOURCES** The pressure to implement projects in all lines of action, led to a dispersion of activities and synergy was only contemplated in one of the lines of action. The great merit of the first year was the identification of civic education, especially in formal schooling, as an essential and promising component of civic awareness
- **GENERATION OF A DEMAND** An overly amount of time and resources were spent at guaranteeing project approval of a small number of initiatives (refer to Chapter 5). As a result, GRADE did not generate a greater demand for sub-grant funds, curtailing the identification of a larger number of initiatives and selectivity of proposals
- **NATIONAL PRESENCE** Most of the proposals had Lima as its main geographical area of intervention and the provinces were mostly attended through small grants for the organization of events. Proactive activities in the provinces were limited

In conclusion, during the first year of the sub-grant program, the stress and pressure to approve projects resulted in the selection of "sure bets" without equal consideration to concentration, dissemination, and the establishment of standard procedures for selection

The 1996 Work Plan introduces modifications in sub-grant selection criteria which have definitively contributed to a more rational and effective process

- Concentrating resources in two areas: civic education and democratic leadership
- Funding major proposals in each area with one or two mid to large size grant, limiting small grants to complementary activities
- Approving a greater number of projects with a national or regional scope
- Dissemination of civic awareness through greater relationship between NGOs counterparts and the organization of seminars, workshops, and so on

As examined in the previous Chapter, these decisions gave the civic awareness project a clear bent towards civil society and promoting democracy from below. GRADE's opted to directly address civic awareness issues with the poor and politically disenfranchised, considering that the elite and opinion leaders already had institutional spaces for treating issues on democratic governance (universities,

private business associations, NGOs and "think tanks", among others) Likewise, greater importance was given to projects outside of Lima, where funding for democracy and governance issues is low or non-existent While in 1995, only 20% of projects were implemented outside of Lima, the percentage increases to 40% in 1996

IV MAJOR RESULTS AND ACHIEVEMENT OF PROJECT OBJECTIVES

1 Quantitative Results

In this section, a general outlook of project achievements will be offered by measuring the quantitative results of 1995-1996 Table 3.1 presents the total number of beneficiaries according to the mode of delivery or output The calculation of beneficiaries was based on reports from implementing NGOs and site visits by GRADE and the evaluating team Estimated beneficiaries were calculated conservatively Therefore, it only lists direct participants in project activities Indirect beneficiaries, be it those estimated by implementing NGOs, audience ratings calculated from TV or radio spots, or estimated readership of books published, were not included Also, due to insufficient data from two projects with an expected high number of beneficiaries --TRANSPARENCIA and IDS-APEP-- they were not included in the estimate

The total number of beneficiaries is impressive, especially considering the short period under evaluation It is important, however, to analyze how these beneficiaries were reached or "touched" by project activities A first method --the one used in Table 3.1-- is by referring to the mode of delivery of civic awareness contents Some modes entail greater recipient participation (time, dedication, resources) and have a greater impact on his/her daily occupations or profession Others are either "one-shot" events or simply are means for providing information Most of the beneficiaries (81%), as could be expected, are in the latter category events and information Approximately 20% of the beneficiaries, were participants in modes of delivery that implied greater dedication and offered information and built capacities that were directly related to their professional or organizational performance

This is especially true of the participants in training and educational programs, which reached more than 12,000 individuals Most of these were involved in formal education, and especially in schools They all benefitted (teachers and students) from the application of validated methodologies which both improved knowledge and capacities in democratic coexistence, and the teaching process itself In terms of consensus building, the experiences were more limited and this reflects on a central problem inherent to the Peruvian political system its low permeability to citizen input Later on this issue is examined when describing the experience of one of the NGOs visited during the evaluation process

Table 3 1
DIRECT BENEFICIARIES BY SOCIAL GROUP AND MODE OF DELIVERY

SOCIAL GROUPS	MODES OF DELIVERY				TOTAL
	Events	Training/ education	Consensus part planning	information	
National Elite/Opinion Leaders	538	88		2 120	2 746
Military	1 242				1 242
Media				556	556
Labor Unions	1 379				1 379
Regional Elite/Opinion Leaders	60	34	313	4 000	4 407
Teachers	137	1 067		4 800	6 004
Students		10 750		20 000	30 750
Grassroots Organizations	5 733	226	290		6 249
General Public	7 000			7 500	14 500
TOTAL	16 089	12 165	603	38 976	67 833

Note Projects not included are TRANSPARENCIA because audience ratings were not available and IDS APEP still under execution

Definitions

Social Groups

National Elite/Opinion Leaders Congress Metropolitan and Provincial authorities Representatives of the Executive Political Parties Political Analysts Intellectuals Academia National NGOs
 Military Officers Military School Officer Training Programs Retired Officers
 Media Reporters Correspondents Media Owners
 Labor Unions Locals regional national federations and confederations
 Regional Elite/Opinion Leaders Local and Regional Authorities State regional functionaries Church NGOs regional grassroots leaders
 Teachers primary and secondary teachers school directors student teachers
 Students primary and secondary university technical schools
 Grassroots Organizations community peasant women ethnic organizations
 General Public

Modes of Delivery

Events seminars exhibitions assemblies expos presentations that do not involve registration or formal/informal certification There is no intention for assuming specific action or proposal
 Training/education formal courses workshops seminars that involve registration supervised assistance and formal/informal certification
 Consensus participatory planning involves activities that have as a major goal a consensual policy proposal plan of action declaration and so on
 Information activities whose goal is to inform user/citizen on specific matters through published material and/or media campaign This includes recipients of replication of training modules (no direct training of implementor) specific bulletins for direct use by recipient on his/her work community action COPIES OF PUBLISHED BOOKS ARE NOT INCLUDED AS AN ESTIMATE OF AUDIENCE

Another method for examining how beneficiaries were involved in activities is by relating them to the type of impact expected. Original project purpose was to both empower civil society in the recognition and exercise of democratic rights and responsibilities and the government in its capacity to respond to constituents. This implied different expected impacts, depending on specific project priorities and targeted groups. As it has been examined before, during the first year both forms of empowerment were stressed. During the second year of implementation, however, more attention was placed on civil society and those institutions that are closer to their daily lives.

Table 3.2 distributes beneficiaries, by social groups, according to the expected impact of the projects. Expected impacts vary according to the extent that the activities focused institutions or individuals. It oscillates from activities that attempt to change major political institutions through new laws, procedures and policies to activities whose purpose was to sensitize individuals in different aspects of democratic values and practices.

Legal norms and policy proposals, as expected impact, have a smaller number of beneficiaries. These were activities directed to the Peruvian Congress or to local and regional governments and whose participants were mostly part of the national elite or opinion leaders. This work was primarily performed by APOYO, which continues this line of action in a separate project with USAID and in separate events which were directed to national elite (Carta de Lima, CERP, among others).

Institutional reform, of both public and civil society organizations, was a major project emphasis. This included important work in making schools more open to democratic issues, in making media more open to civic awareness, in transforming grassroots organizations so that they better respond to the needs and demands of its members and their communities. The preliminary results from work in this area --specifically in schools-- are quite promising.

Most of the beneficiaries, and this reflects the results presented in Table 3.1, participated in projects whose expected impact was generating greater capacities, knowledge and sensitivity to democratic issues. It primarily deals with filling the void of information in a country with a long history of authoritarianism and political exclusion. In a sense, the expected impact is to better prepare citizenry for democratic political action. It is difficult to measure the effectiveness of this expected impact because it greatly depends on the general political environment of the country and the situation of the targeted group. However, there is growing evidence that Peruvian citizens are once again ready and willing to demand and struggle for their democratic rights and responsibilities. Recent reactions to government measures curtailing these rights are an indicator of the possible impact of activities oriented towards informing and sensitizing citizens.

**Table 3 2
DIRECT BENEFICIARIES BY SOCIAL GROUP AND EXPECTED IMPACT**

SOCIAL GROUPS	EXPECTED IMPACT						TOTAL
	Legal Norms	Institutions	Policy proposal	Capacities	Knowledge	Sensitization	
National Elite/Opinion Leaders	526				2 220		2 746
Military				1 242			1 242
Media		556					556
Labor Unions				1 379			1 379
Regional Elite/Opinion Leaders		94	313		4 000		4 407
Teachers		609	72	1 186		4 137	6 004
Students		3 400		850	26 500		30 750
Grassroots Organizations		5 700	166	350		33	6 249
General Public						14 500	14 500
TOTAL	526	10 359	551	5 007	32 720	18 670	67 833

Definitions

Expected Impact

Impact is measured according to the activity's incidence on either institutional processes or individual behavior

Legal norms and procedures activity had expected impact on legislation administrative procedures making them more responsive to constituents

Institutional activity had an expected impact on state or civil society institutions making them more responsive to constituents/members

Policy proposal as a result of the activity proposals were formulated to either the state or local/regional authorities expecting their incorporation by government Examples changes in curriculum changes in national or sectoral policies incorporation of issues and demands into local government plans

Capacities activities created or strengthened abilities for democratic practices conflict resolution tolerance debate discussion

Knowledge government representatives and citizens became more knowledgeable of rights and responsibilities
Sensitization general public was made aware of rights responsibilities authoritarian practices discrimination and so on

In general terms, then, the civic awareness project accomplished a major goal for this initial phase to reach out into Peruvian society and support democratic initiatives. In the process, GRADE has concluded that certain forms of delivery and expected impacts have a greater probability of success. This is an issue that must still be examined in profundity by explicitly and scientifically comparing expected with attained impact. An initial exploration of this type is offered in the next section.

2 Estimating Project Impact A Look at the Case Studies

Even though it is possible to calculate results and project outputs, they do not necessarily address the impact issue. Impact refers to the achievement of general objectives and goals, to the changes that have occurred in people's lives and institutions, and point to the feasibility of the overall project. By designing a project with multiple modes of delivery and targeted populations, the civic awareness project was exploratory in nature and the lessons learned should lead us to improve future proposals. However, this diversity does not permit an accurate measurement of impact.

If all project funds would have been destined to one mode of delivery, for example civic education in school settings, then different techniques and methodologies could have been compared and tested, resulting in a rigorous measure of impact. Still, an important doubt would persist in terms of a longitudinal time-frame: how lasting are the knowledge and capacities acquired? Another danger in pre-selecting one mode of delivery, is that there is always the chance that it was not the most appropriate to start with, and its support would have resulted in vain.

Through qualitative methods it is possible to perceive a general sense of impact by examining how processes have managed to "scale up", how NGOs have incorporated new ideas and methodologies, how leaders are reacting to training programs, and so on. An attempt in this direction is offered by analyzing the diverse projects where the evaluator and his assistant had direct contact with implementors and beneficiaries. These will be discussed below by organizing project site visits according to the line of activity they addressed.

a Mass Media

The project implemented by TRANSPARENCIA is an interesting example of how important results and impact may be obtained by using "seed funds" to promote a network of voluntary work in civic education. The project's objective was to create a National Network of Civic Education in order to incorporate civic education in regional radio stations, through interactive programs where listeners could actively participate as a response to an specific issue in democratic culture.

The project originally was to set-up ten programs in regional radio stations, but managed to more than double this amount to twenty four stations. Most of the programs were aired more than three times a week. An important characteristic of the project was that all program costs --radio time, program director, conductor,

technical personnel-- were either free or volunteered. The philosophy was that the programs would have to "sell themselves" so as to be attractive to commercial radio stations. Most of the cost of the USAID/GRADE project went to training regional conductors, preparing "spots" and dramatizations for radio discussions, and organizing national contests. A majority of the radio programs remain on air, even though the project ended on March, 1997.

CALANDRIA's approach to the mass media was different. Their intention was to directly offer news media surveys and pertinent information concerning women's rights. Using International Women's Day (March 8) as the leitmotiv, they organized a campaign on "Women's rights and Citizen participation" by preparing seven television "spots" (aired free by 5 television stations --3 in Lima-- for a total of 80 airings) and five radio "spots" aired by 22 radio stations in Lima for a total of 504 airings. The information "fed" to newspaper also helped in generating greater coverage concerning International Women's Day and its historical relevance. CALANDRIA has also coordinated activities with Congress, the ombudsman, and the Ministry on Women for the launching of the 1997 campaign.

Both projects show how important impact on civic education issues may be achieved in the mass media if they are presented in a pluralistic and amenable form, procuring audience participation. Instead of lecturing on civic values, both NGOs stressed the entertainment and information dimension, providing listeners with useful knowledge for their daily lives. A major civic awareness challenge is to incorporate the democracy dimension into regular media programming.

b Schools that generate a culture of democracy

Major project synergy has been achieved in civic education in school systems. During 1995-1996, eight projects were approved that directly addressed this issue, six of them were visited during this evaluation (CIDE-EDUCALTER with 2 projects, TAREA with 2 projects, ISPTA and IPA in Cuzco). Though each project has its own specificity and priorities, they all address the issue of how the educational system and environment frequently reproduce an authoritarian culture which invariably affects both teachers and students. The promotion of a culture of democracy, then, must start at the early stage of socialization, with the hope of eventually reversing this situation. **This is a long-term process, though each of the visited projects attempted to find the means to institutionalize the proposed changes in the shortest possible time-frame.**

- CIDE and EDUCALTER are both NGOs that administer two "alternative" schools in Lima, founded in 1982 and 1983. By "alternative" they refer to schools that purposely practice an education based on respect, responsibility, tolerance, solidarity and honesty. Through USAID/GRADE funding, these institutions systematized the lessons learned about "building democracy" in a school setting and transformed them into teacher and classroom guides. The preliminary guides were validated in four public schools in Lima, training 50 teachers and approximately 2,000 students. Through diverse evaluation methods (classroom observations, expert

opinion, seminars), a guide on "educating in democracy" was published and distributed. CIDE-EDUCALTER have also managed to incorporate these contents into a teacher training program with the Ministry of Education, reaching more than 300 teachers and in an educational project funded by private business in the Northern Region of Lima.

- TAREA also has a long experience in "popular education", including work with children and school students. They believe that a major problem in building democracy in Peru is the lack of tolerance and respect for diversity. USAID/GRADE project funds have permitted TAREA to directly address this issue in secondary school education by preparing educational materials, training teachers, school directors and authorities, and student leaders. Their goal was to introduce "coexistence" issues in the curriculum for three areas (Language, Civic Education, and History) by working gender relations and respect for diversity. They followed a procedure much alike that of CIDE-EDUCALTER by applying and validating preliminary guides in 10 schools in Lima, involving teachers and students. These have been published and distributed to over 150 schools. In a second USAID/GRADE project, they have worked these materials with local educational committees in Cuzco, Ayacucho, and Lima.
- IPA and IPSTA are institutions that work in Cuzco and in Puno. IPA is a NGO linked to the Catholic Church which for the last twenty eight years has promoted human development. IPSTA works in Tinta and is a Teacher's College, under the charge of the Catholic Church. They are involved in helping local schools design their Proyecto Educativo Institucional - PEI (Institutional Educational Project), a Ministry of Education program set to decentralize curriculum design to better meet the needs and requirements of local communities. Both institutions have signed agreements with the Ministry of Education, through a competitive bidding process, to train local school directors, teachers, and student teachers in preparing their PEIs. USAID/GRADE funds (small grants) were used to organize workshops and activities where PEIs were designed and civic education contents were discussed and incorporated. They were supported by CIDE and TAREA in the training programs and modules. IPSTA reached 445 participants, IPA had 160 teacher participants. Both institutions continue in this line of work.

The sustainability of these programs depends on their effective incorporation in curriculum in schools and in Ministry of Education policies. Important steps have been taken during the first two years of implementation, resulting in a closer relationship between these NGOs and educational authorities. USAID/GRADE have also funded an educational network --Foro Educativo-- in their attempt to design a National Educational Project where civic education is prioritized.

c Leadership training

The field visits included three NGOs that implemented leadership training programs with different grassroots organizations. Each had a different approach and scope,

yet they shed light on the problems of leadership training in times of crisis in political representation

- CALANDRIA worked leadership training with women grassroots organizations in Lima (5 workshops, 2 at the district level and 3 at a metropolitan level) The content of the training was about "women and citizenship" The final purpose was to train women leaders in the use of a training module to be replicated with the members of their organizations Two hundred women agreed to apply the module and reached approximately 3,500 members of their institutions The module consisted of a video, comic strips, and other visual and graphic material
- ALTERNATIVA's proposal consisted in organizing a "Leadership School" in the Northern Region of Lima Instead of short courses and seminars, the school provided an annual comprehensive educational and training program at a level comparable to initial university training The goal was to train participants in the preparation of specific development programs for their community and organizations In the first semester, participants received the instruments and methodologies which would later be applied in the design of the development plans USAID/GRADE funded the initial implementation and first semester of this program, the second semester was made possible through other grants Total participants were 26 leaders
- CIPCA had a training program directed to young leaders in rural and urban areas of Piura The main objective was to generate new forms of leadership among young adults by stressing the need and importance of consensus building, negotiation, and participatory methods in the processes of decision-making and policy proposal Approximately 150 leaders participated in the seven workshops organized, each lasting 3 days As a result of the training program, it is expected that leadership nuclei for governance will be formed in each of the participating districts

The three approaches represent different forms of possible impact CALANDRIA had a direct approach by working with leaders and their organizations These organizations have proven to be vibrant but with limited capacity to enter political "spaces" that are dominated by men It is expected that by offering practical guides on leadership/organization and knowledge of where to go to protect their rights, these groups will have a greater capacity to address gender political issues at the local and national level Preliminary findings show that these programs do create a demand for these protective services CIPCA focuses on youth and its reaction against traditional modes and means of political action By incorporating their work within the scope of local development, the project expects to have lasting effect on institutions (local government) and citizen participation ALTERNATIVA's option, though interesting, is based on a small number of leaders and future effectiveness depends on their ability to maintain their leadership status in the mid to long run

The lessons learned are clear. Due to the limitations of civic awareness project funds and the need to guarantee immediate impact, greater results will be achieved by simultaneously working with leaders and their organizations around specific policy issues. In this way, leaders and members may immediately pressure those institutions responsible for protecting their rights.

d Consensus Building

Only one project site dealing with this line of action was visited. MINGA is a small NGO that works with local governments in Alto Piura. The objective of the project was to formulate a development plan for this region by bringing together authorities, professionals, grassroots leaders, peasant organizations, NGOs, teachers, students and the Church. With this purpose in mind, USAID/GRADE small grant funds were used to organize three seminars and a forum. The development plan resulting from these events was published and disseminated. Lack of funds did not permit a follow-up process and authorities changed due to municipal elections in late 1995, limiting the impact of the project. Currently, only discrete assistance is provided to several authorities following the proposals derived from the regional plan.

The weak institutionality of local and regional governments tend to limit any experience which has as its set goal the design of plans or policies. Changes in elected authorities, for example, may interrupt the application of the plan, despite the general consensus generated. There are, however, interesting examples of the possibilities inherent in generating consensus among civil society groups and local governments. In Cajamarca, Ilo and in Metropolitan Lima, local authorities have met with different citizen's groups in order to agree upon municipal priorities and programs, and in the process solving difficult problems. **Future project selection in this line of action, must assure that the initiative is firmly connected with government institutions that are permeable to citizen participation.**

e General Public

The sub-grant program has also supported activities where the general public participates and are "sensitized" to different civic awareness issues. Two of these projects were visited:

- "Pata de Cabra" organized a month-long exposition on racial discrimination in Lima. Through music, art, theater, and other means, the visiting public were given a glimpse of the problem of racial discrimination and its effect on democracy. Through a small grant, the NGO was able to mobilize the volunteer work of dozens of artists and intellectuals. Approximately seven thousand people visited the exposition, including the final public act where a declaration against racism was signed. An important impact of this project is that it has created a nucleus of professionals and artists that are committed to organizing other exhibitions dealing with the general issue of discrimination (racial, gender, ethnic, and so on).

- CALANDRIA organized 15 "videothons" in public squares or plazas in Lima. In these videothons, bystanders have the chance to observe and react to a dramatization of some specific occurrence, projected from video into a giant screen. CALANDRIA worked the issue of gender discrimination and changing norms in the relationships between men and women. The public participated by expressing their opinions and discussing the implications of the issues raised. Approximately 7,500 people participated.

Although questions may be raised about the long-term impact of these events, they do provide creative leads as to how civic awareness issues should be managed when oriented to a general public. CALANDRIA believes that the next step is to offer, right there in the public square, the possibilities for making use of the acquired information. Their next videothons include tents and stands manned by different government agencies responsible for the defense and protection of women rights.

V SUB-GRANT PROGRAM INDICATORS AND EVALUATION

Three main types of indicators are essential for project monitoring and evaluation:

- Monitoring indicators measure efficiency by examining the use of project resources, especially the achievement of work plans and activities.
- **Results (outcome) indicators** measure effectiveness by referring to the degree that project goals have been achieved by the quantity and quality of outcomes produced.
- **Impact indicators** measure to what extent project objectives have been achieved by examining the extent to which the project has produced the desired changes in the social setting and has assured sustainability through different means (changes in either individual or institutional knowledge, attitudes, practices).

GRADE recognizes that it has made important headway in the formulation and monitoring of the first two types of indicators, yet insufficient progress in measuring project impact. The 1995 Work Plan did not include overall project expected activities, results and impact. The Project Director would monitor monthly financial reports to make sure budgeted activities were being implemented. Participation in sub-grantee activities (events, seminars, conferences) was another indicator of progress in implementation.

In the 1996 Work Plan, overall types of activities to be supported, expected results and impact indicators were designed for the two Work Areas and six Lines of Activities. Likewise, in each sub-grant outcome and impact indicators were developed. A close examination of overall indicators (results and impact) with specific sub-grant indicators, shows that they are closely related. Overall indicators were used, then, in the design of sub-grantee projects.

Another issue, however, is how closely these indicators were monitored and evaluated. Even though indicators for overall project and specific sub-grants mesh, there was no formal evaluation process to indicate their respective achievements. Without a doubt, during 1996, outcomes were monitored and their assessment was essential in deciding the lines of activities to be supported during 1997. Yet this was performed informally, without a specific methodology for validating results.

In 1997, more attention started to be placed in estimating overall project impact. This includes a more aggressive visiting schedule of project sites in order to directly assess impact and the organization of an international conference on civic education, where issues of evaluation were stressed. Although these efforts are important, the issue of evaluating impact should be prioritized (see Chapter on recommendations). There are, however, problems in adequately measuring impact that will persist, no matter what actions are taken.

- a Most of the projects are small and have a short duration, thus limiting the measurement of impact. There is a general feeling that "too much is expected" considering project scope and funded amounts. A majority of the interviewed counterparts felt that this was a shortcoming in the relationship with GRADE. Their continuous insistence in expecting outcomes and impacts was considered out of proportion with the received funds.
- b Civic awareness, and especially civic education, are long-term processes that can only be appropriately perceived several years after its delivery. Immediate impact measurement can only provide an estimate of what programs or modes of delivery are more effective --in the short run-- in generating knowledge and capacities.
- c Civic awareness is affected by a multitude of life experiences. It is difficult to establish that a particular learning experience was more important than others in generating greater civic awareness. Estimates of impact, then, become expensive because they must control for other variables.

Chapter 4 GRADE STUDIES AND RESEARCH

Scope of Work

"Analyze and review the studies and research conducted by GRADE under the civic awareness component, including their usefulness and impact. In so doing, answer the following questions

- How were the studies --and their authors-- selected? Were they consistent with the guidelines provided in the cooperative agreement and annual work plans?
- Did the studies have an impact on the other activities included in the civic awareness component? Were they useful in other areas of democracy and governance? Have they been used by GRADE or other groups involved in the implementation of the civic awareness component or other democracy-related activities (whether or not funded by USAID)?
- Were the studies conducted in a professional and timely manner? How have they been disseminated and to whom?"

Introduction/Summary

The general criterion for research activities was to directly "feed" project activities in the four main project Lines of Action and to help define Phase II activities. Originally, the cooperative agreement considered that the studies would be conducted under GRADE's Area of Governance and Development Studies, which already had ongoing research and proposals which fit civic awareness priorities. Finally, the specific research projects would be jointly defined by GRADE and USAID on a yearly basis.

The research component will have two clearly marked stages. The first, during 1995, coincides with the existence of the Area of Governance and Development Studies which was to be deactivated in 1996. In this stage, the studies were mainly a continuation of the work of AGENDA Peru, a Peruvian NGO devoted to the study of democratic governance issues in Peru. The research conducted was mostly exploratory and qualitative in nature, touching upon central issues in participatory democracy, political parties, women's participation, authoritarian culture, and institutional reform. Its impact on project activities was limited, although it has been disseminated in diverse fora and publications.

In the second stage, research will become more integrated with GRADE's overall research strategy, focusing on the links between structural adjustment/institutional reform and its impact on civil society organizations and citizen participation. This tendency will be clearly established by the third year of project implementation (1997). Some of the studies conducted in 1996 were also directly related to the

activities implemented under the civic awareness component. Research would provide central theoretical frameworks, concepts, and information to implementors, and these would provide feedback on the impact of the information on organizational processes and attitudes.

In this Chapter, each of these stages will be examined in detail, addressing the questions raised in the scope of work. Of particular interest will be the analysis of (a) background information, (b) research proposal and author selection, (c) impact on other activities and its use inside and outside GRADE, and (d) professional quality and timeliness.

I RESEARCH UNDER THE AREA OF GOVERNANCE AND DEVELOPMENT STUDIES (1995)

1 Background Information

In 1993, GRADE created the Area of Governance and Development Studies, built upon a major institutional research area in the 1980s. Peru's long-term development options and strategies. The central objective of the area was "increasing knowledge on how power and authority are exercised both within a country and internationally, and especially on the social guidance of the development processes in Peru and other Latin American nations" (GRADE 1993 Annual Report, page 15). The Coordinator of this area was Francisco Sagasti.

Parallel to these research efforts, Dr. Sagasti was also involved in the Project AGENDA Peru, which started in early 1993, with the purpose of preparing a diagnostic of the problems of democratic governance in Peru and the elaboration of an initiative agenda in order to address them. The results of AGENDA Peru were of essential importance in the design of both PARDEM and the Civic Awareness component. In practical terms, the research proposals for 1995 will be the result of the convergence of these two institutional processes.

2 1995 Research Proposal and Author Selection

The research program in the 1995 Work Plan was both ambitious and overly general without clear indication of theoretical frameworks, hypotheses and methodology for each of the proposals. The short-time span between civic awareness project approval and the presentation of the work plan, partially explains this lack of specificity. Nevertheless, the proposed authors, all of them principal participants in AGENDA Peru and renowned professionals and researchers, could be given the benefit of the doubt and a carte blanche to develop their projects.

Three research topics were to be totally funded by Civic Awareness:

- Governance and National Awareness. Its purpose was to establish the cultural roots in the crisis of governance by examining key events that have formed collective perceptions concerning democratic and authoritarian

behavior The main researcher was Dr Max Hernandez, one of Peru's leading psychoanalyst and researcher on the historical dimension of Peru's collective consciousness The methodology consisted of literature review, content analysis of school texts, focus groups, surveys, etc

- Crisis and Perspectives of Political Parties The study focus was to examine the recent evolution of parties and their future development, in order to identify the necessary reforms to improve their role as political intermediaries The main researcher was Dr Nicolas Lynch and no specific methodology is mentioned in the work plan
- Democratic Governance, Public Spaces and Gender The project had three main purposes to review the literature on the new roles played by women as social and political actors, to review the literature concerning public spaces and its relevance to Peruvian reality, and direct observation of leadership training programs for women The main researcher was Dr Pepi Patron, philosopher and university professor and researcher

The remaining research topics were to be partially funded by civic awareness and both of them were to be carried out by Dr Francisco Sagasti, coordinator of the Area in Governance and Development Studies and co-director of AGENDA Peru

- Governance and Development Strategies Builds on and completes the work carried out during 1993-1994 with support from the Mellon Foundation and consists in the design of a development strategy including the definition of national objectives, analysis of external environment, definition of strategic lines, and proposals for institutional reforms to assure governance
- Governance and the New Role of the State It builds on a preliminary study carried out with the support of the Canadian International Development Agency and studies the new role the State must play after institutional reforms

Most of the data collection for the proposed studies was either through secondary sources (literature review) or the wealth of data collected during the implementation of AGENDA Peru Thus, budget requirements were primarily destined for the salaries of researchers, their assistants, and experts

3 Impact of studies

All of the studies were related to civic awareness aspects, especially during the first year of implementation when Lines of Action were still broad and not well defined Dr Sagasti's work primarily focused on institutional reform, Dr Hernandez on civic education, Dr Lynch on consensus building and political parties, and finally, Dr Patron's on women's participation and leadership training Their main contribution, in this initial stage, should have been a better definition of second and third year activities and/or as inputs for activities to be implemented by the project These objectives were not achieved, for the following reasons

- The research agenda was not well integrated to the sub-grant program, in the sense that it did not "feed" preliminary proposals for project selection criteria
- Neither was it well integrated to the rest of GRADE's research priorities and orientations. In essence, the study and research component was more the continuation of AGENDA Peru, than "research and studies at GRADE". Most of the researchers themselves were not part of institutional life.
- Part of the research agenda dealt with areas which during 1995 were being discarded as civic awareness priorities: political parties, decentralization, institutional reform.
- Research results, especially those involving national awareness and women's participation in public spaces, could have contributed to some project activities, but they were not presented in an adequate form for this purpose and were not disseminated.

The research on Peruvian political parties was presented and discussed in GRADE with the participation of political analyst and activists. The impact of the 1995 research activities, however, was to occur outside of GRADE and the civic awareness project, and mainly in academic and intellectual circuits. Part of the work on institutional reform of the Executive and development strategies was presented in diverse fora to both national and international audiences. The results have been published by other institutions, including a recent extensive article in the journal Socialismo y Participacion. Some aspects of the study on political parties has also been published in the same journal. Max Hernandez' work has been presented in conferences.

4 Professional Quality and Timeliness

GRADE provided the evaluator the three research reports it has on its file for 1995. These are the studies fully conducted with civic awareness funds, corresponding to Dr. Hernandez, Dr. Patron and Dr. Lynch's work. In general terms, the three reports are good interpretative essays, mostly based on extensive literature review, data analysis from AGENDA Peru, and limited primary data collection: interviews and direct observation. They are thought-provoking, well-written, but still at a preliminary stage. In other words, they are not of a publishable quality. All of the reports were ready by January 1996.

II SECOND STAGE RESEARCH AT GRADE (1996-1997)

1 Background Information

It was clear in September 1995 that the research component of the civic awareness project would no longer be limited to the Area in Governance and Development. In an extensive note concerning the status of research projects presented to Mr. Jeffrey Borns (Chief ODIT/USAID) on September 25, 1995, Francisco Sagasti states:

"During 1995, the studies carried out with USAID support allowed Drs Lynch, Patron and Hernandez to fully use the material generated by AGENDA Peru in their respective projects. It is not expected that they will continue working at GRADE during and beyond 1996, once the scope of the program on governance and development is reduced "

The note also outlines possible research topics for 1996, including one in GRADE's Area of Education, Science and Technology Policy Studies, and another in the Area of Environmental and Natural Resource Economics and Regulation. This is a clear indication that the research component was on its way to becoming a more integral part of the institution.

During the 1990s, as Peru's economy stabilized, GRADE began to gradually modify its strong emphasis on macro-economic studies and policies, to examine important issues involving structural adjustment and institutional reform and its effects on diverse sectors of the economy and population: regulation, the environment and natural resources, decentralization, conflict resolution, education, and so on. Many of these issues were crossed by the central themes of institutionality and governance. The availability of research funds through the civic awareness project was an excellent opportunity to link GRADE's growing interest in the area with specific policy proposals in the lines of action contemplated in the project. In this way, a common and shared purpose could be found between GRADE's research priorities and Civic Awareness interests.

In the 1996 Work Plan, the research component is re-oriented in order to

- 1 Better link research to the activities contemplated in the sub-grant program
- 2 Achieve short term results so as to define guidelines for 1997
- 3 Offer concrete recommendations in the improvement of democratic practices through the review of replicable experiences
- 4 Serve to measure the impact of the sub-grant experiences
- 5 Be compatible with GRADE's research capacities

2 1996 Research Proposal and Author Selection

In the 1996 Work Plan, the new criteria for research selection is evident. Three research proposals were presented (only 2 approved by USAID), all of them dealing with the study of the institutional aspects of decision-making processes in order to promote greater democratic participation. A synthesis of the approved research

- Property Reform of Agricultural Natural Resources and its Impact on Social Organization and Decision-Making in Rural Areas. Recent structural reforms in property legislation (land, water, natural resources) will force peasant communities to make important decisions concerning the distribution of productive resources. The research addresses both the scope and breadth of decisions that must be made, as well as the existing decision-making mechanisms in peasant communities. The author selected was Dr. Manuel

Glave, an economist specialist in rural development and natural resource management

- Analysis of the Decision-Making Process with respect to the Financing and Management of the Educational System The study analyzes decentralization as a mechanism for the reform of the educational sector so it can serve as the basis for the discussion of the benefits and costs of this process in Peru The author selected was Dr Jaime Saavedra, economist, GRADE staff researcher

This third research topic was approved after the presentation of the 1996 Work Plan

- Quality and Social Equity Problems in Superior Education The Case of Professional Technical Education in Metropolitan Lima This study was the continuation of a GRADE 1995 study which focused on the differences in technical educational quality in Lima and its impact on the educational and employment experiences of its graduates, four years after their studies had ended The objective of the continuing study was to analyze if superior technical education constitutes a channel for social democratization, or a mechanism for the reproduction of social differences The selected author was Nestor Valdivia, a sociologist and staff researcher at GRADE who had been in charge of the previous research

3 Impact of studies

One of the studies had a direct impact on the implementation of one of the large sub-grant projects Dr Glave's work on both the implications of property and natural resource reforms was intimately articulated to CEPES' work with Andean peasant communities It was an interactive process whereby the study "fed" legal, social and economic information to the training programs with the communities and CEPES' own surveys on community decision-making processes provided significant information on how the reforms were being contemplated and acted upon by the peasants Dr Glave's constant site-visits to selected communities also permitted in situ observations

The study has also had impact in the academic and NGO community, especially in reference to the recommendation that communities' serve as a local property registration agent and a primary instance in natural resource and water management regulation Papers have been prepared and delivered in at least two important events Likewise, during 1996-1997, research results have also been presented in more than ten newspaper articles, editorials and interviews

The study on Professional Technical Education and its impact on occupational mobility had impact on both the governmental and academic spheres (a) the methodology and data collection instruments of the study served as the basis for the national study conducted by the Ministry of Labor in its program for youth job training, (b) the results have been given wide coverage in the newspaper El

Comercio in its vocational supplement, (c) it has recently won a research competition organized by the FORD Foundation concerning youth studies in the social sciences, (d) the author has appeared in four radio programs dealing with educational issues

The Study on decentralization of the educational sector is still under revision and its final version will be presented to educational authorities at the national, regional and local level. It is also incorporated into GRADE's general research and policy proposal in the area of education and technology

4 Professional Quality and Timeliness

The three studies are of a good quality and each represents an original contribution to the knowledge on Peruvian Society. The research report on reforms and peasant communities is well-organized, with clear objectives, discussion of theoretical frameworks, literature review, analysis of legislation and norms, and a classification of communities and different forms of property within the communal structure. A major weakness is that the issue of decision-making processes in the communities is not directly addressed. It is expected that this will be treated in the continuation of the research in 1997. The report was ready by June, 1997

The study on professional technical education is strongly quantitative, based on the sample survey of 673 graduates of eleven Technical Institutes in Lima. There is a careful definition of variables and special attention is placed on control variables. The report has two parts. Firstly, a narrative account of theoretical framework, hypotheses, data collection and major results. Secondly, an attachment with both descriptive and inferential statistics. The report was ready by March, 1997

The study on decentralization of educational expenditure and costs consists of two reports. The first is an exhaustive examination on the determinants, scope and characteristics of Peruvian educational expenditure in the last twenty-five years. Basic data was collected from secondary sources, mostly National Budgets and national surveys on domestic unit expenditure. The second report is a comparative research on educational sector decentralization in five Latin American countries and its implications for a similar process in Peru. Exhaustive bibliographic review was utilized. Both reports were ready by March, 1997

Chapter 5 PROJECT ORGANIZATION AND ADMINISTRATION

Scope of Work

"Review and analyze the administration and organization capabilities of GRADE. In so doing, answer the following questions:

- Has GRADE maintained an appropriate organization and personnel to successfully implement USAID-funded Cooperative Agreement? What improvements and adjustments, if any, should be made to enhance performance?
- Does GRADE have an appropriate information system for managing the civic awareness component? Does it permit control of inputs and measurement of results?
- What institutional strengths and weaknesses does GRADE have for carrying out this type of program? What is GRADE doing to address any perceived weaknesses?"

Introduction/Summary

It is clear that the selection of GRADE as the implementing agency for the civic awareness component was based on its prestige as an important Peruvian research, teaching and project management organization, on its work experience with numerous international organizations (including USAID), and on its administrative and financial management capabilities. However, GRADE did not have the equivalent capacity for implementing programs based on direct interventions in development assistance, including institutional reform and promoting civil society participation. This capacity had to be built --in a very short period-- through the hiring of appropriate personnel responsible for managing and coordinating the project and by establishing an organizational structure for processing information and decision making.

From early on the implementation stage, GRADE established an efficient financial administration of the project but it had to grapple with the effective management of project activities. As examined in the Implementation and Sub-grant Chapters of this evaluation, in a first stage, project management did not design standard procedures for project design, for controlling inputs and measurement of results, and for overall management of the component. Neither did it establish an appropriate information system for decision-making. This responded to a style of management that over-emphasized the "human relations" aspects of the relationship with the counterparts.

In mid 1996, this situation will be reversed showing a substantial improvement in efficient project management, including selection criteria for sub-grants, standard procedures for the presentation and review of proposals, reporting and monitoring activities, and the initial implementation of a management information system.

These were the result of important changes in both the organizational structure and of key personnel. There were still difficulties, however, in the adequate measurement of results and project impact. This aspect is high on the agenda of the 1997 Work Plan (see Chapter 7)

In this Chapter, the initial obstacles encountered and the solutions presented will be discussed in detail

I THE IMPLEMENTATION PLAN AND ITS CHANGES

1 Background Information

GRADE's decision to assume the civic awareness project was not immediate or free of ambivalent feelings. The institution had a different profile from what was immediately sought for the implementation of the civic awareness component and had as its established niche hard research and policy design on areas dealing with macroeconomic policy, science, education and technology, and long-term planning issues. It is important to note, however, that despite the lack of substantive experience in direct implementation of participatory democracy practices, GRADE did have the necessary knowledge and relationships so as to perform a preliminary identification of issues and possible candidates for sub-grants and contracts and for conducting research in the area.

It is in early 1993 that GRADE incorporates a research area on Governance and Development, headed by one of its founding member, Dr. Francisco Sagasti, who had recently returned after a long absence from Peru. Essential in GRADE's acceptance of the Civic Awareness component was Francisco Sagasti. The work of Sagasti and associates in AGENDA Peru had provided essential inputs in USAID/Peru's design of the PARDEM and Civic Awareness projects, as well as in its strategic planning. In a way, GRADE's acceptance in becoming the implementing agency for civic awareness was mostly due to negotiations among Sagasti, GRADE's Executive Board and USAID/Peru.

This evaluator believes --based on personal interviews with those involved in this process-- that the presence of Dr. Sagasti as a main proponent of PARDEM and his highly personal involvement and relationship with USAID, somewhat delayed the proper incorporation of the civic awareness component as an integral part of GRADE. It is during the first eighteen months of implementation that civic awareness gradually passes from being a peripheral initiative of one of its founder, into a recognized, accepted and respected part of GRADE. This transition was not exempt of conflicts and partially influenced Dr. Sagasti's distancing from the institution.

The conflict between GRADE's Executive Board and Francisco Sagasti mainly involved differences in opinion concerning Civic Awareness objectives and management style. One of the central issues at hand, was project selection. Sagasti was not overly preoccupied with short-term results and impacts, but in the

mid to long-term implications of the projects selected. Since it is difficult to foresee long-term implications of a project in Peru's volatile political setting, project selection depended heavily on the informed perceptions and expectations of project managers. In other words, project management had to be based in probable long-term performance, despite initial weak or poor showing. GRADE's Executive Board, on the other hand, preferred a selection process which emphasized a wider diversity of initiatives and, based on their short-term results, decide future funding of these activities. The Civic Awareness project management was caught between these two options during the first year of implementation.

2 Problems with the Original Organizational Structure (1995)

According to provisions in the Cooperative Agreement, GRADE was to divide implementation responsibilities among three groups: members of its Executive Board, an Advisory Committee, and a Project Director (and staff). The role of each group was envisaged as the following:

- The Executive Board (Comite Directivo) had overall responsibility and was in charge of approving grants and subcontracts, appointment of Project Staff, allocation of resources and overall project management.
- The Advisory Committee (Comite Consultivo), constituted by the Coordinator of the area of Governance and Development and three experts from different fields, was to help in overall direction of project activities, definition of criteria for evaluating requests, providing advice and suggestions for studies to be conducted in GRADE, and advising performance and impact of project activities. In other words, its function would generally fall under "quality control".
- Finally, the Project Director was responsible for day to day management of the project: executing Executive Board decisions, maintaining flow of information, preparing documentation and supervising project's administrative personnel. He was to be named by the Executive Board, with concurrence of the Advisory Committee and the approval of USAID/Peru.

During 1995, the Advisory Committee and the Project Director did not perform the tasks as set in this structure, leading to a correspondent assumption of tasks and responsibilities by the Executive Board. This evolution was the result of several processes:

- a Project size did not merit a three tier management structure. Basically what was necessary was a Project Director searching and screening proposals and monitoring results, and the Executive Board overseeing the process and making the appropriate decisions. The Advisory Committee's role was not clear and in a way constituted one more deliberative body without essential input in direct project management.
- b During its existence until early 1996, the Advisory Committee only met a maximum of four times and, according to one of its members, it did not have clear meeting agendas. There was a lack of leadership and subsequent

weak sense of purpose. Dr. Sagasti did individually get involved in several aspects of the project, especially in research and project content analysis in areas such as institutional reform and consensus building. But the group did not act as a whole, thus defeating the original purpose of the Committee.

- c. The Project Director for the first eighteen months, Mr. Gonzales, though an experienced project administrator, adopted a management style which focused on close informal relationships with each counterpart. As the project portfolio grew, he was eventually overburdened, caught between his personal commitment to each project and the growing requirements for project selection, processing and monitoring. Finally, he was not properly accompanied by the Advisory Committee in the preparation of guidelines and procedures which would have permitted greater efficiency in decision-making.

Mr. Gonzales' management style was also clearly responsive rather than proactive. He believed that there was a sufficient demand for project funds and that his main responsibility was to transform incoming proposals into "good projects." Much of his time was dedicated to this task and this is recognized by the different NGO members interviewed. He would personally get involved in reviewing and rewriting proposals until they met Executive Board and USAID criteria. This essentially limited project recruitment and evaluation of a wider spectrum of proposals, curtailing the possibilities of project selection by GRADE.

- d. Finally, the Executive Board's initial resistance to the Civic Awareness component also led to an ambivalent attitude concerning its management. An important reason behind this is that GRADE did not establish its own objectives and purposes concerning the civic awareness component and the role it played in the institution. The Board, in an initial phase, was mainly preoccupied with approving high-quality proposals since it reflected on GRADE's prestige. However, because of the shortcomings of the Project Director and the Advisory Committee in assuming this style of project management, it will gradually assume more and more project responsibilities. Specific examples are the growing role played in proactive activities, including the dissemination of the project and the search for interesting proposals.

3 The Institutionalization of the Civic Awareness Component (1996-1997)

The main proposal for changing the organizational structure appeared in the 1996 Annual Work Plan. It called for eliminating the Advisory Committee and the strengthening of the remaining project management groups.

- Firstly, by providing the Project Director with a technical committee (comité técnico) assisting in monitoring and evaluating activities (full-time expert) and in the dissemination of the project (half-time expert). This would free the Director for proactive matters such as the search for interesting

- proposals in diverse regions of Peru, for overall project management and evaluation, and so on
- Secondly, by promoting public debate on the problems of participatory democracy through seminars and workshops, press releases, and institutional meetings for discussing Civic Awareness lines of actions and important initiatives in these areas

A second and more detailed proposal was presented by Carlos Salazar, hired by GRADE to conduct the mid-term evaluation of Phase 1 of the Civic Awareness component in May 1996. Among Mr. Salazar's main recommendations, the following pertain to project organization and administration:

- a Greater articulation between GRADE's central lines of work and Civic Awareness lines of action so as to better formulate the objectives of the civic awareness project and its integration to institutional processes
- b Improvement or creation of mechanisms and instruments for project management: criteria for proposal designs to be submitted to GRADE, guidelines for the elaboration of activity and financial reports, guidelines for project monitoring, criteria for evaluation, criteria for project approval by the Executive Board
- c Strengthening management team with the hiring of an expert in project monitoring and evaluation

Most of these suggestions have been incorporated since mid 1996 and have greatly improved project organization and administration. Specific attention on the management information system will be detailed below.

II MANAGEMENT INFORMATION SYSTEM

The Cooperative Agreement was not too explicit concerning the characteristics of the monitoring plan to be implemented by GRADE or of USAID's specific information needs for properly supervising the implementation. In the PARDEM project paper there is greater specificity (pages 27-28), including the basic elements of the monitoring plan and a description of the components of a management information system (MIS), yet this document did not form part of the cooperative agreement and was not made available to GRADE.

Given the small number of initiatives contemplated during the first year of implementation and the reduced number of approved projects, no specific monitoring plan or MIS was implemented. The Project Director mainly worked with a three to four matrix for project management and monitoring. These included: (a) a project portfolio matrix, including requesting institution, a brief description of the proposal and the requested funds, (b) financial status of approved projects, (c) estimated monthly disbursement schedule for all projects, (d) bi-monthly activities calendar. In terms of standard procedures for managing diverse project components, the evaluator has only found a format for small grant applications introduced in early 1996.

As the project portfolio increased, the lack of appropriate procedures and instruments bogged down project processing and monitoring and was one of the reasons behind poor performance in the first six months of 1996. As stated before, the internal evaluation conducted during May-July, 1996, vehemently recommended the immediate implementation of these procedures and instruments to aid project management.

Starting in the second semester of 1996, project management counts with appropriate formats, standard procedures and instruments which constitute an adequate management information system. It has significantly improved the Project Director's ability to manage a portfolio consisting of more than 100 proposals during July 1996 to June 1997. The main instruments and their use are the following:

a Standard forms and procedures

- Guidelines for project presentation
- Guidelines for budget elaboration
- Format for Project progress report
- Format for Project final report
- Different formats for disbursement, liquidation, etc,

These guidelines and formats have facilitated both project analysis and selection, have improved quality of proposals, and have generated greater capacity for monitoring activities, project status, and difficulties.

b Information management

- Agreements subscribed by year
- Status Report of Project Portfolio (monthly) lists all proposals received and their status according to the project selection process
- Approved Project Matrix (monthly), including status and personnel responsible for monitoring activities
- Basic Characteristics of Approved Projects Matrix. Besides project duration, it includes beneficiaries, geographical area, subject area, and activities
- Reporting Schedule of Approved Projects by month
- Monthly Status Report on Project Report

Most of these instruments have their financial counterpart, involving status of budget requests, disbursement, and final project renditions. This information is primarily used by the Project Director and his assistants and involves mainly quantitative data.

c Monitoring System and Activities

- Project Site Visits (semester), each project is visited at least twice during implementation

- Monthly list of programmed events and activities in projects these are prepared a month in advance in order to decide participation of GRADE or USAID representatives
- Format for reporting site visits
- Reporting format for participation in counterpart events and activities

Qualitative data is collected during site visits and participation in events and activities, and is an important methodology for evaluating project progress, difficulties, and need for corrective actions. Basic information is also shared with the Executive Board and USAID Project Manager.

III GRADE'S STRENGTHS AND WEAKNESSES

After the initial difficult period described above, GRADE has substantially improved its capacity for carrying out a development assistance program in promoting participatory democracy. The institution has essentially built-up a management system that more than satisfies USAID criteria.

- a The new Project Director, Carlos Salazar, has wide experience in development assistance and project monitoring and evaluation. Through his leadership, the Project office has assumed a proactive approach and has started to reach different provinces and regions in Peru.
- b The project has become more selective as it places attention on the merits on the content of original proposals, instead of spending time in rewriting proposals until they finally fulfill GRADE and USAID standards. Some of the counterparts visited disliked this management practice, preferring the individualized attention practiced by the former Director.
- c The strengthening of the Director's office with the incorporation of an expert in project evaluation has assured a continuing process of monitoring the diverse sub-grantees, their respective projects, and the results obtained. This involves an aggressive strategy of visiting project sites and attending major project activities, so as to permit in situ evaluation.

A major area that needs development is the evaluation of the impact of overall project and individual activities. Up to the moment, GRADE has substantially improved project monitoring through the design of clear indicators and by establishing standard procedures for following up on activity implementation. The main challenge, however, is to design criteria for measuring impact. This entails the following procedures:

- a Clearly establishing what specific changes the project seeks to introduce in Peruvian society. The objectives, goals, purpose and expected outputs of the Civic Awareness project are still too general. Specific target groups, modes of delivery, public and private institutions must be prioritized in order to obtain more impressive results with the limited available funds. These

must be established jointly by GRADE and USAID/Peru and these decisions must be based on the evaluation of past experience and inputs from comparative research in other countries and programs

- b Strengthening the capacity of participating NGOs in the evaluation of civic education and awareness GRADE may participate in three forms Firstly by facilitating training to its counterparts There have been initial actions in this direction by referring counterparts to the training programs organized by PACT Secondly by organizing "evaluation work groups" among counterparts responding to the different categories of project activities and/or modes of delivery Thirdly by directing GRADE's research clout and expertise into areas of comparative research on civic awareness and education impact There has also been some progress this direction, in the 1997 study concerning the impact of "alternative schools" on democratic knowledge and attitudes The Civic Awareness Project should significantly contribute to knowledge and practices in this area since it would provide important guidelines to future projects
- c Facilitating the exchange of national and international experience in the area of evaluation of civic awareness and education The Civic Awareness budget cannot possibly address all of the important issues in evaluating impact and assessing different modes of delivery, but it can become an information and data base collecting the most significant and influential research on the area and making it available for other NGOs

These and other actions could help in strengthening the evaluative component of Civic Awareness and become a central contribution of the project to the Peruvian NGO and political community Since the Civic Awareness Project started as a exploratory search and funding of democratic initiatives, it should end its Second Phase with a solid contribution on the merits on different forms of delivery and its effects on the knowledge and democratic practices of diverse target populations

Chapter 6 COORDINATION WITH USAID

Scope of Work

"Review and analyze coordination efforts between GRADE and USAID. In so doing, answer the following questions:

- Is there sufficient communication flow and coordination between GRADE and USAID with respect to decision making, particularly with respect to decisions regarding sub-grants?
- How is the relationship between GRADE and USAID characterized or defined operationally? Are the mechanisms for coordination adequate?"

Introduction/Summary

The relationship between both organizations is through a cooperative agreement which includes a clause on USAID's "substantial involvement", mostly referring to the revision and approval of the most important aspects of the Civic Awareness Project: sub-grant selection criteria, subagreements and subcontracts, annual work plans, hiring and replacement of key personnel, all studies not included in work plans. GRADE's responsibilities, as mentioned before, consists of identifying and screening proposals, submitting approved proposals to USAID, signing subagreements, monitoring subagreement activities, purchases and financial management, preparing annual plans and quarterly and annual narrative reports.

In this type of relationship, where one of the parts implements and the other approves, there is ample room for lack of coordination and conflicts unless there is a fluid communication flow, substantial agreements on the goals, purpose and strategies of the project, and enough flexibility for reviewing and changing procedures and priorities. Both parts must be "substantially involved", but in broader terms than those mentioned in the Cooperative Agreement.

Given the nature of the Civic Awareness Project --its flexibility in implementation, exploratory nature, and sensitive political character-- the need for coordination was even greater. GRADE was not given a rigid guideline for project selection and neither were USAID's purpose and interests clearly stated. Therefore, effective implementation meant a mutual maturation process between counterparts, where central project frameworks and perspectives had to be discussed among partners. This process was built through formal (meetings, reports) and informal (conversations) means.

Although GRADE and USAID have maintained a cordial relationship during the period under evaluation and it has become more productive after mid-1996, there have been difficult moments which were successfully resolved. Both institutions have been quite open and frank concerning different aspects of project

implementation and have been able to solve major problems and obstacles in project implementation. There are clear indicators that essential coordination aspects during project implementation have benefitted from changes in both quantitative (greater flow of communication, regular meeting schedules, participation in project activities and project site visits) and qualitative (joint planning, priority setting, work agendas) aspects.

In the following pages, the relationship will be examined in detail, focusing on the major problems and how they were solved, permitting to draw lessons about how cooperative agreements of this nature may be improved.

I THE MAJOR AREAS OF LACK OF COORDINATION AND CONFLICTS

Most of the major difficulties between GRADE and USAID occurred during the period between November 1995 and July 1996. This period, as it has been pointed out in previous chapters, was of problems and transitions due to shortcomings in the original project design and project management. The sum of these initial implementation problems brought about some complications in the relationship--although the counterparts did not necessarily make them explicit-- and reached its highest point in the first six months of 1996. In these months, USAID became increasingly preoccupied with GRADE's capacity to effectively manage the project.

- a **Allocation of sub-grant program funds** In 1995, GRADE had 80% in committed funds. Given the difficulties in finding good, approveable projects, this outcome is understandable. In the first semester of 1996, however, only 4% of total "fresh" annual funds were committed by June 30, 1996. This lack of capacity in committing and spending funds was a warning sign for both USAID/Peru and GRADE's Executive Board.
- b **Definition of project priorities and lines of action** GRADE had difficulties in specifying and selecting lines of action in 1996 Annual Work Plan and this slowed down the approval process.
- c **Reporting of project results, indicators and impact** The narrative reports presented by GRADE were monthly during 1995 and sporadic in the first semester of 1996. They were mostly a brief description of project activities, with little or no indication of results, monitoring activities, and evaluative processes. They did not offer USAID/Peru a clear indication of project progress and orientation.
- d **Clarity in counterpart objectives** Finally, there was a lack of communication between USAID/Peru and GRADE in terms of their specific objectives in the Civic Awareness project and of the changes in priorities which were arising due to country setting and USAID priorities. USAID was undergoing a process of strategic planning which would greatly clarify the agency's perspective with respect to Participatory Democracy and would specifically place the Civic Awareness component under Intermediate Result 1.4.

GRADE, on the other hand, was repositioning the Civic Awareness project within the institution due to the closing of its area in Governance and Development. Neither of these major developments were appropriately communicated to the other counterpart.

These and other problems were recognized by GRADE's Executive Board and in May, 1996, hired Mr. Carlos Salazar as an outside consultant, in order to perform an evaluation of the project. The evaluation report was ready by July. In terms of the coordination between GRADE and USAID, the evaluation recommends:

"It is indispensable that the relationship between GRADE and USAID be strengthened, securing the exchange of points of view and the agreement on mechanisms for a more agile execution of the project. It seems that the original image USAID had of GRADE has faded. This should be reversed, by recapturing project management initiative and in the achievements of objectives" (page 31, my translation)

Mr. Salazar's specific recommendation to the respect was to strengthen project management so as to increase the reception of initiatives and processing of proposals (including greater dissemination of the project and an aggressive search for counterparts), improve procedures and instruments for monitoring and evaluating results, and to establish appropriate reporting procedures. These recommendations were adopted by the Executive Board and were to be implemented by Mr. Salazar himself when he was hired to direct the project.

II CURRENT RELATIONSHIP AND PERSPECTIVES

Both parts characterize their current relationship as "very good" or "excellent". In operational terms, it emphasizes coordination and participation in the major aspects of project management:

- GRADE sends USAID for opinion, a brief "concept paper" of NGO initiatives it considers interesting and feasible, before actual project is designed. In this way, USAID is aware of proposal portfolio and GRADE may dedicate its time and resources on projects which have a greater chance of being approved.
- Civic Awareness Director and his team meet with USAID Project Manager every two weeks in order to review sub-grant process and other project management issues.
- GRADE sends USAID project manager upcoming sub-grantee events/activities and recommends participation in some of them. USAID Project manager has increased number of visits to sites. USAID is also informed of site visits by GRADE management team.
- Communication lines between GRADE's Executive Director and the USAID Chief of ODIT are also open and characterized as "direct and frank".

As Phase I of the Civic Awareness Component comes to an end, there are some remaining issues that must be jointly examined by GRADE and USAID in order to pave the way for Phase II

A first issue concerns project evaluation and impact. The evaluator considers that this a central source of misgivings and confusion among partners. As the Chapter on the Sub-program shows, important results were achieved during the first two years of implementation and these apparently have increased in 1997. Unexpected results have also been important, primarily in strengthening a NGO community dealing with civic awareness and consensus building. There are questions, however, concerning the actual, long term impact of the activities implemented. Yet these questions, though valid, are difficult to answer under any circumstance and especially in a project with limited funds and duration. The challenge, under these conditions, is to specifically and realistically establish criteria for measuring impact that will contribute to the design of future programs in civic awareness. Some recommendations in this respect are presented in the last Chapter of this report.

A second issue concerns the lessons learned and how they may be applied in a second phase. The objectives, goals, and outputs designed for Participatory Democracy were based on a five-year project duration. This evaluation basically examines the first two years, which given the flexible project design, were essentially a period for examining opportunities, reacting to country setting, exploring alternatives and gradually generating more solid foundations for future action. On the way many decisions have been made and the original options for project activities have been substantially reduced. The evaluator believes that most of these decisions have been logical and genuinely responding to a better and improved implementation of the program, generating a greater specificity and, hopefully, impact of project activities. Furthermore, they are decisions shared by both GRADE and USAID. The Civic Awareness project has found its "niche" in civic education and democratic leadership training. The challenge for both partners is to jointly examine the opportunities and threats in this choice and design strategies for the remaining two years.

A third issue involves project management and USAID's "substantial involvement". It is clear to the evaluator that partners in projects dealing with complex and sensitive issues must both be "substantially involved" in designing major strategies and frameworks. This is not an engineering project where design and technical specifications are pretty well established from the beginning and where the implementor may be strictly evaluated in accordance with meeting these specifications. On the contrary, little specification was purposely allowed. Thus, a different "measuring stick" must be used in evaluating this type of cooperative agreement and it should be based on the quality of suggestions, recommendations and refinements to the project and how these were shared, discussed and validated by the grantor. In a sense, both grantor and implementor are evaluated in terms of the quality and timeliness of their decisions.

Chapter 7 1997 WORK PLAN

Scope of Work

"Assess the 1997 Work Plan, as approved by USAID, in the context of the civic awareness objectives. Is this the best way of conducting civic awareness activities in order to achieve SO 1 and IR 1.4?"

Introduction/Summary

There are no fail-proof approaches for generating greater civic awareness and citizen participation in a given population. Different modes of delivery have differential impacts --either in the short or long run-- given the country or location setting and the political moment. One of the main challenges in the civic awareness project was to explore diverse initiatives so as to gradually arrive at the most appropriate alternatives given available resources and modes of assistance.

The 1997 Work Plan is the result of GRADE's evaluation of two years of project implementation. It is by far the most consistent and coherent plan of Phase I activities. It is clearly an attempt to achieve one of the main goals of civic awareness: concentrate resources so as to achieve the maximum possible impact. The institution has selected two main lines of action --civic education and democratic leadership training-- and prioritized target groups (grassroots organizations, racial minorities, teachers, peasants, and especially women and youth sectors). A difficult question remains: Is GRADE's choice of interventions the best way of conducting civic awareness in order to achieve SO 1 and IR 1.4? The evaluator cannot possibly answer this question directly because there are multiple and effective ways of conducting civic awareness. Rather, he must examine the process by which GRADE reached this conclusion in order to verify its consistency, coherence, and validity. In other words, was the choice the product of some form of evaluation? Did it take into account other alternatives? Were there clear indicators of possible future impact in the selected areas?

In this Chapter, a brief examination of GRADE's decision-making process will be performed in order to assess the validity of the conclusions and its contribution to the achievement of SO 1 and IR 1.4. The Chapter is organized in three sections: (1) the decision concerning the lines of action and research component, (2) the management decisions that will support the selection of appropriate proposals, (3) how these decisions may contribute to the achievement of SO 1 and IR 1.4.

I LINES OF ACTION AND RESEARCH

The 1997 Work Plan is a continuation of the two lines of action prioritized for 1996. By selecting civic education and democratic leadership, GRADE is placing

its hopes in civil society and in its most vibrant sectors – grassroots organizations, women organizations, ethnic minorities, and young people. This is consistent with GRADE's decision to concentrate resources in activities involving education (increased knowledge) and changes in attitudes and behaviors. These activities per se, however, will not assure success. The main risk behind GRADE's decision is whether these programs will be able to strengthen POLITICAL EFFICACY, defined as whether the citizen thinks he (she) can do things associated with his (her) acquired knowledge in rights and responsibilities. And this depends on perceptions of whether the system will respond. As a representative of one of GRADE's counterparts stated: "we must connect increased civic awareness with mechanisms and means so that rights and responsibilities are effectively exercised". Strengthening civil society's capacity to act democratically must necessarily be connected with generating spaces and instances for these acts to occur.

This leads us back to the discussion concerning institutional reform and making government more responsive to constituents. The evaluator believes that GRADE is attempting to strengthen political efficacy by the type of project it is selecting. Most of them are trying to change institutions from below, both in government and civil society. In the twenty projects selected for 1997, at least seventeen directly address this issue.

- Seven projects directly work with the educational system, taking advantage of Ministry of Education reforms that are involving private institutions in teacher training and are decentralizing curricula design so as to better adapt them to local conditions. The projects attempt to reach all important players – teachers, students, school administrators, student-teachers, and Ministry of Education officials at the local, regional and national level. Political efficacy will be strengthened through the incorporation of these proposals into part of the educational system.
- Three projects are directed to grassroots women's organizations, which are probably the most vibrant, continuing and effective civil society groups in the last twenty years. They have implemented the most successful social assistance programs to date in Peru ("glass of milk", communal kitchens, health organizations), have scaled up to regional and national organizations, have participated in the struggle for women and children's rights, and have had an effect in introducing legislation ("glass of milk" law, law on family violence). Different studies show that the participants in these organizations develop a stronger self-esteem because they feel that their participation does make a difference. Without a doubt, there are problems in terms of making these women move from a "gendered" space into more public spaces, yet the projects, in one way or another, address this issue.
- Three projects address the issue of racial discrimination. Race issues in Peru are "invisible" and even though racism is rampant. Sensitization on racial discrimination, awareness of its impact in job markets and the mass media, is a first step towards generating respect for a multi-cultural and socially diverse society.

- Four projects are directed to the rural productive sphere, where important changes in legislation concerning land use and property, water rights, and natural resource management are occurring. These legislative reforms reduce State intervention in managing and regulating these important aspects in agricultural production, so as to permit users and producers to design more efficient and sustainable means. The projects seek forms of preparing producers for the important decisions that must be made by establishing democratic mechanisms that protect the rights of all involved.

The evaluator considers that all of these projects are feasible and respond to current conditions. They are designed so as to promote greater civic awareness at the same time they create or strengthen mechanisms for its effective exercise.

The research component has been designed to specifically and directly contribute to an important number of these initiatives. Firstly, by studying the impact of reforms on agricultural production and organization and by examining decision-making processes in peasant organizations, it contributes to the actual implementation of a project directed in helping peasant organizations to adapt to these reforms in a democratic fashion. Secondly, by analyzing the impact of "alternative schools" in generating democratic knowledge, attitudes and practices among students, it will attempt to find what are the main factors behind success and the possibilities of replicating them.

II MANAGING FOR RESULTS AND IMPACT

In order to appropriately manage for results, annual objectives, strategies, results and their indicators must be clearly established, as well as a system for monitoring progress towards their achievement. All of these elements are present in the 1997 Work Plan, although the civic awareness project still presents interesting challenges at the moment of implementation.

A particular difficulty of the project is monitoring results (quantity, quality, timeliness) and evaluating impact (achieving objectives, sustainability). This difficulty is the product of at least two built-in elements in project design: (a) exploring the initiatives that are "out there" produces a sizeable project portfolio (at its highest, 30 projects under implementation, 40 under consideration), and (b) project duration (from a month to a maximum of a year) puts limits in the type and breadth of impacts attained.

For these reasons, project selection becomes the first --and probably the most--important process for assuring adequate results and probable impact. In the Chapters on Implementation and Sub-grant program, the evolution of selection criteria have been discussed and its impact on sustainability. In the 1997 Work Plan, these criteria are further refined, placing special attention on possible synergy among projects (civic education, for example) and between projects and research.

A second process is monitoring project execution (implementation and process evaluation) by putting in place appropriate mechanisms and instruments to measure

project progress through different indicators (efficiency, outcome, impact) These were either improved or introduced during the second semester of 1996 (see Chapter on Project Organization and Administration) In 1997, the strengthening of the Project Director's office with an expert in project monitoring and evaluation, will permit the effective use of these instruments and introduce qualitative evaluation techniques through a greater number site visits and participation in counterpart activities

A third process is outcome evaluation, which normally occurs at the end of a project cycle and permits a more profound look at project impact This is a new challenge introduced in the 1997 Work Plan, and it is being implemented at the time of writing this report This will undoubtedly enrich the findings of this evaluation, which has only focused on the first two years of project life, and should present important leads concerning Phase II activities

III ACHIEVING STRATEGIC OBJECTIVE 1 AND INTERMEDIATE RESULT 1 4

The evaluator considers that SO 1 and IR 1 4 are an important step towards clarifying the scope of the civic awareness project (refer to Chapter 1 on project design) Intermediate Result 1 4 gives specificity to civic awareness by focusing attention on civil society ("Citizens better prepared to exercise rights and responsibilities") and by establishing two indicators that directly point to increased awareness (a) percentage of citizens who know where to go to protect their rights, and (b) percentage of citizens who know their basic rights and responsibilities

The 1997 Work Plan addresses these issues by (1) focusing work on civic education and leadership training in the attempt to strengthen democratic knowledge, attitudes, and practices, (2) selecting projects which offer immediate possibilities for exercising and protecting their rights in school, local government, peasant organizations, water user's boards, municipal legal aid programs for women, and so on, (3) attempting a multiplying effect by targeting socialization agents and institutions teachers, leaders, local and central government authorities, and so on

The evaluator cannot assure that this is the best way to achieve SO 1 and IR 1 4 However, GRADE is working with probably some of the better NGO and civil society initiatives in the Peruvian scene, within the scope of the civic awareness project and available resources Many of these initiatives have just recently through USAID/GRADE funding, given the "leap" from localized and small scale projects to regional and national programs (e g , civic education) This by itself is an important achievement of the Civic Awareness Component and is undoubtedly contributing to IR 1 4 by enhancing citizen's knowledge of rights and responsibilities The challenge, however, is to discern whether the acquired knowledge will prove to be lasting and produce changes in attitudes, values and behaviors This must be addressed in Phase II and recommendations to this respect are presented in the next Chapter

Chapter 8 RECOMMENDATIONS

Scope of Work

"Based on the country situation, the GRADE activity, and resource availability, formulate conclusions and recommendations for future civic awareness activities that are best suited to achieving SO 1 and IR 1.4 in a reasonable cost-effective manner. Recommendations should be prioritized and as detailed as possible and should include explanations on the methods to be used, whose responsibility it should be, and when it should be implemented. Recommend the specific interventions, modalities and lines of actions that should be continued, modified, added or eliminated. To the extent feasible and based on the performance under the civic awareness component, recommend specific NGOs that are most promising for carrying out recommended actions"

Introduction

The results obtained during the first two years of the five year project, are evidence of the potential of the civic awareness component and of the importance of its continuance. GRADE has been effective in advancing towards the objectives and purpose of the Civic Awareness component. Due to the exploratory nature of the program, it was a learning process where original design, implementation and selection criteria were tested until a relatively efficient and effective implementation program has been put into place.

- The project has been highly influential in revitalizing NGO and civil society concern on civic awareness and education issues. It has helped NGOs working in this area give a "quantitative and qualitative" leap in terms of impact and coverage.
- It has incorporated a "participatory democracy" dimension to NGO projects only strongly bent towards development issues by linking civic awareness to structural reform, local and regional planning, survival strategies.
- It has fostered growing concern and attention on civic education and the important role of socialization agents by incorporating new teaching methodologies and educational contents in schools and curriculum changes within the educational system.
- It has explored innovative methodologies in disseminating civic awareness issues, especially with the general public in expositions, public squares and the radio.
- It has placed USAID/Peru as a central referent in civic awareness initiatives in the country.

However, in entering Phase II of the civic awareness component, important qualitative changes must be rapidly introduced as a response to changing political

conditions, the lessons learned, and a critical assessment of results and impacts obtained. This Chapter will be dedicated to pointing out some of the major decisions and possible answers. The recommendations will be organized along the lines of the Scope of Work tasks, beginning with project design and ending with coordination with USAID/Peru.

1 Project Design

It is necessary to draft a new design that specifically reflects changing conditions in country setting, in USAID/Peru strategic objectives, and in project lines of action and activities. It is highly recommended that the Office for Democratic Initiatives and Training (ODIT) and GRADE jointly conduct a process of strategic planning in order to review the mandates, vision and mission of the civic awareness component and from there design objectives and strategies.

- a The Civic Awareness Component objectives, purpose, results and activities must be revised so they are suited to effectively achieve SO 1 and IR 1.4. The emphasis is on broader citizen participation in democratic processes, thus it should maintain a "bottom up" approach.

Firstly, given the limited available resources in civic awareness, it is essential to focus work on those spaces which are more permeable to citizen participation. Experience has shown that work with state institutions that are very close to central political power (legislative, judiciary, Ministry of the Presidency) is beyond the scope and possibility of the civic awareness component. There are other spaces, however, which are opening for greater citizen input and participation in democratic processes, which are listed in order of priority:

- State institutions in charge of education and health. Due to the process of privatization and/or decentralization of these services, there are important opportunities for citizen participation.
- State institutions in charge of gender issues and children's rights. There is a declared political interest in furthering women's rights: new legislation, the Ministry for the Promotion of Women, municipal agencies for the protection of women and children's rights, and so on.
- Selected local governments are attempting to solve major urban problems with citizen input and consensus building: urban crime and violence, relocating street vendors, environmental protection, etc.

Secondly, it is also essential to identify and support civil society organizations with the potential to "effectively put pressure on and interact with public sector institutions":

- The emphasis in reaching schools should be continued, even though it is a long-term process, sustainability might be assured through cooperation with Ministry of Education.
- Grassroots women organizations are a priority, yet emphasis should be placed in the exercise of rights and responsibilities through specific

agreements with State institutions in charge of protecting women's rights

- A closer look should be placed at university students, who are attempting to channel political participation under a renewed awareness on citizen's rights and democratic practices

2 Project Implementation

In spite of troublesome moments, overall project implementation has been efficient and effective. However, future civic awareness activities will be greatly enhanced if more attention is placed on planning and on increasing available funds

- a Planning is an essential step that permits proper monitoring and evaluation of outcomes. They are the guidelines for project implementation and should incorporate specific indicators for monitoring progress. Annual plans, should necessarily include
 - Analysis of country setting changes in opportunities and threats
 - Clear annual goals and purposes, it should not be assumed that they are already established in general project design
 - Strategies for achieving goals
 - Expected results and indicators
- b Proper implementation of the civic awareness project by an umbrella organization can only be achieved if administrative costs are within 15 to 25% of total budget. The relative weight of this rate directly depends on the total assigned funds for activities. GRADE could manage more than twice the current activities funds without a substantial increase in administrative costs. GRADE and USAID should jointly find ways of increasing funds for project activities and take advantage of the existing management capabilities
- c GRADE has acquired significant experience as an implementor of "umbrella organization" projects. The institution has assumed the responsibility with professionalism and has been able to achieve important results. This expertise should be taken into consideration in future civic awareness activities and projects

3 Sub-grant program

The lessons learned point towards project selection in the area of civic education and leadership training. Most of project funds should go to these two areas, with those institutions and target groups mentioned before in the project design recommendations. A maximum of twenty percent of the funding could be targeted for new and promising initiatives that do not fall under these categories. However, other measures are necessary to fully assess and understand the impact of these programs

- a GRADE should evolve from a normative theoretical framework (based on what projects should be) to one that is based on the causal links between actions and outcomes Comparative research on civic awareness and education could possibly offer interesting leads concerning the most promising relationships between modes of delivery and outcome performance The intention is to generate --in the two remaining years of the project-- a body of reliable knowledge concerning the "best practices" in civic awareness
- b Selection criteria should incorporate not only lines of action, target groups and geographical area, but also considerations on
 - Feasibility all proposals should include a stakeholder analysis or political mapping
 - Efficiency priority should be given to proposals that have a validation stage, unless this has already been conducted and appropriately evaluated by independent experts or institutions
 - Effectiveness, by reviewing prior NGO performance in achieving project and institutional goals and concentrating a larger amount of funds on longer-term projects that will contribute to overall civic awareness objectives
 - Sustainability, priority should be given to NGO proposals that already have cooperative agreements with local, regional, and central governments so as to strengthen possibility of replication and sustainability
- c Major counterpart criticism to the sub-grant program was project duration and in funding uncertainties for continuing project activities USAID/GRADE should establish clear rules concerning project funding and assure major counterparts of continuing support This can be achieved by conditioning greater funding on short term project results and impact A small number of successful implementors may then be guaranteed funding even before budget amounts have been set for the fiscal year
- d Most of the interviewed counterparts had serious doubts about the reliability of impact assessment based on short-term results **Projects should clearly state what can be achieved in the short run and what they will do to guarantee mid to long term impacts** Project approval must be based on these guarantees
- e In order to avoid dispersion of funds, small grants should be limited Instead of funding separate and discrete events, greater impact is assured by using these funds on major annual conferences and seminars that attempt to display and evaluate civic awareness initiatives at both the national and international level

4 Research

In 1997, an important step was taken when research was conducted on evaluating the actual impact of civic education programs (alternative schools) in the strengthening of democratic knowledge, attitudes, and behavior Following this

initiative, an essential recommendation is that part of the research activities, during the second phase, continue addressing evaluative and impact issues

- a Research should focus on examining which institutional settings, projects, methodologies, and social sectors are more conducive to producing changes in the knowledge of rights and responsibilities, in tolerance towards diversity, and democratic values, attitudes, and behaviors
- b Among the possible research topics which would greatly contribute to our knowledge of the most effective means for promoting civic awareness and education, the following could be contemplated in priority order
 - Conduct exploratory research on the relative merits of the different modes of delivery of civic education
 - Focus on the relative impact of family and school in the generation of a culture of democracy
 - Examine how gender issues have been introduced in legislation and government programs , affirmative action, quota systems to define the most effective means for initiatives in the current political system

5 Project Organization and Management

Current structure has proven to be effective, it has increased the number of proposals in review and is efficiently managing project portfolio However, in order to improve GRADE's capacity to select proposals, monitor results and evaluate project impact, it is recommended that

- a As in other funding agencies, proposal revision and approval -especially for mid and large size projects-- should occur once or twice a year in set and established dates A project selection committee will then study the project portfolio, select and approve In this way, the process of project selection is concentrated in specific moments during the year, permitting an overall view of proposals, comparisons among initiatives, and their possible relations and synergy Under current procedures, GRADE is permanently under a "project selection" mode, reducing available time for monitoring and evaluation
- b Greater relationship should be established among counterparts with the specific goal of guaranteeing quality control, exchanging criteria for evaluating impact and measuring results
 - New funding criteria should permit the selection of major "partners" during the remaining two years of the project by establishing multi-annual projects
 - Permanent work-groups should be established with these sub-grantees in order to design, implement, and improve impact assessment These groups should be accompanied by experts in evaluation, possibly through an agreement with PACT

- c Outcome and impact assessment reports should be prepared on a semester basis, including information on beneficiaries, modes of delivery and qualitative data based on case studies and field visits

6 Relationship with AID

USAID/Peru's important work in participatory democracy would clearly benefit by promoting greater exchange among the major implementors of the Intermediate Results of SO1 and other USAID projects. An essential arena for citizen participation is local and regional governments. Several USAID/Peru initiatives have as its focus provincial and district governments, including the civic awareness component, though each program emphasizes a particular dimension of citizen participation: local public services (water, refuse disposal), municipal environmental planning and monitoring, women and children's rights, among others. Given the great challenge in decentralizing decision-making by making local governments more efficient and effective, it would be interesting to compare the strategies of the different programs.

ATTACHMENTS

ATTACHMENT 1

PRIMARY DATA COLLECTION

1 Document Examination

Document analysis was one of the main data sources for this evaluation and provided major leads for the interview schedules and direct observations of project activities. Although it is difficult to directly indicate their direct relevance to the different evaluation tasks, they are listed below according to the task they provided substantial information for.

a Project Design

- Peru Participatory Democracy Project Paper, USAID
- Civic Awareness Component Cooperative Agreement USAID-GRADE
- Relevant parts of USAID Country Development Strategy for Peru FY 1997 - 2001
- Democracia y buen gobierno, Proyecto Agenda Peru (authors F Sagasti, P Patron, N Lynch, M Hernandez), Lima APOYO, 1994
- USAID Gender Statement

b Project Implementation

- October-December, 1994 Work Plan, Civic Awareness Component
- 1995 Work Plan, Civic Awareness Component
- Preliminary versions of 1996 Work Plan, observations by USAID
- Final version 1996 Work Plan
- Monthly Report of Activities for 1995 (March - September)
- 1995 Annual Evaluation
- Specific reports sent to USAID in the first semester of 1996 (February 6, 1996, June 6, 1996)
- Quarterly Report of Activities, August-October, 1996
- 1996 Annual Report

c Sub-grant program

- Expert Studies hired by GRADE for recommendations on initiatives in civic awareness in six areas: Reform of Legislative, Journalism (2 studies), Consumer's rights, Civic Education, Project Implementation guidelines, and Consensus Building and Citizen Participation
- 34 Program Description of sub-grants and subcontracts approved during 1995-1996
- 33 Final Reports of sub-grants and subcontracts approved during 1995-1996
- Four publications (books and materials) supported by civic awareness component

Educacion y Ciudadania propuestas de politicas, published by Foro Educativo

Educacion y Ciudadania propuestas y experiencias, published by TAREA

El Aula un lugar donde vivir en democracia, guia para maestras y maestros, published by CIDE-EDUCALTER

Democracia, derechos sociales y pobreza en el Peru, published by CERP

d Research

- Selected parts (methodology, collection of data, conclusions) of the eight research projects approved during 1995-1996

e Project Organization and Administration

- Diverse guidelines and instruments for project selection, monitoring and evaluation

f 1997 Work Plan

- 1997 Work Plan
- Quarterly Reports (first and second quarter)
- Selected project monitoring instruments

g General and Miscellaneous Information

- GRADE Memoria 1980-1990
- GRADE Annual Reports for 1991, 1992, 1993, and 1995

2 Interviews

a GRADE

- Patricia de Arregui, Executive Director, member of Executive Board
- Alberto Pasco-Font, Administrative Director, member of Executive Board
- Javier Escobal, Director of Research, member of Executive Board
- Jaime Saavedra, Member of Executive Board, researcher
- Ignacio Franco, Administrator
- Antonio Gonzalez Norris, ex-Director Civic Awareness
- Carlos Salazar, Director Civic Awareness
- Ivan Mendoza, expert in monitoring and evaluation Civic Awareness
- Sue Mas, Administrative Assistant Civic Awareness
- Manuel Glave, researcher

b USAID/Peru

- Jeffrey Borns, Chief Office of Democratic Initiatives and Training (ODIT)
- Maria Antonieta Delgado, Project Manager Civic Awareness Component

c Civic Awareness Sub-grantees

- TAREA, Edwin Gonzales
- CIDE-EDUCALTER, Manuel Bello and Fernando Bolaños
- TRANSPARENCIA, Rafael Roncagliolo
- CALANDRIA, Helena Pinilla and Petruska Barea
- ALTERNATIVA, Jaime Joseph
- Pata de Cabra, Sandro Venturo
- IPA, Richard Suarez, Maria del Carmen Tena y Paul Casafranca
- ISPTA-Tinta, Rosario Valdevellano, Lucrecia Vargas y Marcela Pinto
- CIPCA, Maximiliano Ruiz, Miguel Zegarra, Jose Gallo, Rosa Prieto y Maria Isabel Curay
- MINGA, Rosa Rivero, Luisa Guarnizo y Luisa Egar

d NGOs whose proposals were rejected

- ARARIWA, Javier Azpur
- GUAMAN POMA, Jose María Gomez García y Asuncion Marco

e Beneficiaries

- IPA, 2 from ODECS , one school director and one teacher
- ISPTA-Tinta, Eulogio Cruz y Samuel Ccapa
- CIPCA, Maximo Aquino, Mercedes Sandoval, Marilda Valladolid, Leonardo Espinoza, Manuel Quintana, from Bajo Piura, Pedro Benitez, Gloria Aguirre, Erasmo Retto, Manuel Correa y Aurora Rey from Alto Piura
- ASONEDH, Martin Cornejo, Ileana Nunura y Alfredo Alzamora
- IADSL, Jose Pingo, Rafael Noblecilla, Rodrigo Panta y Jorge Seminario

3 Field visits

Cusco and Piura were included in the field visit in both cases the participants of the project were invited by IPA, ISPTA and CIPCA for a meeting with the evaluator In Cuzco the visit included Tinta and Sicuaní where a group of participants were called for a meeting by IPA and ISPTA-Tinta, In Piura, the visit included Bajo Piura, Narihuala, Pedregal and Curamori, In Alto Piura, Buenos Aires and Morropon The other visits were realized in the cities of Cusco and Piura