

5150092-01  
PD-003-960-A1

AID 1020-25 (7-69)			SECURITY CLASSIFICATION			001 PROJECT NUMBER								
<b>PROJECT APPRAISAL REPORT (PAR)</b> (U-446) See M.O. 1026.1			<b>UNCLASSIFIED</b>			518+15-890-092.3								
002 PAR	MO.	DAY	YR.	003 U.S. OBLIGATION SPAN		004 PROJECT TITLE								
AS OF:	0	5	3	1	7	0	FY	7	0	Thru FY	7	2	CIVIC DEVELOPMENT -	A.I.D.
005 COOPERATING COUNTRY - REGION - AID/W OFFICE	ECUADOR												URBAN DEVELOPMENT	Reference Center Room 1356 MS

006 FUNDING TABLE											
AID DOLLAR FINANCING-OBLIGATIONS (\$000)	TOTAL	CONTRACT (NON-ADD)	PERSONNEL SERVICES			PARTICIPANTS		COMMODITIES		OTHER COSTS	
			AID	PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT	DIR. PASA	CONTRACT
CUMULATIVE NET THRU ACTUAL YEAR (FY 1970 )	88.2	67.9	10.7	-0-	65.4	-0-	-0-	-0-	-0-	9.6	2.5
PROPOSED OPERATIONAL YEAR (FY 1971 )	172.0	139.0	12.0	-0-	124.0	6.0	-0-	-0-	-0-	15.0	15.0

CCC VALUE OF P.L. 480 COMMODITIES (\$000)      Thru Actual Year :      Operational Year Program :

007 IMPLEMENTING AGENCY TABLE						
If contractors or participating agencies are employed, enter the name and contract or PASA number of each in appropriate spaces below; in the case of voluntary agencies, enter name and registration number from M.O. 1551.1, Attachment A. Enter the appropriate descriptive code in columns b and c, using the coding guide provided below.						
TYPE CODE b	TYPE CODE c	a. IMPLEMENTING AGENCY	TYPE CODE		d. CONTRACT/PASA/VOLAG NO.	e. LEAVE BLANK FOR AID/W USE
			b.	c.		
1. U.S. CONTRACTOR	0. PARTICIPATING AGENCY					
2. LOCAL CONTRACTOR	1. UNIVERSITY					
3. THIRD COUNTRY CONTRACTOR	2. NON-PROFIT INSTITUTION	1. John Westbrook	1	6	AID-518-254	
4. PARTICIPATING AGENCY	3. ARCHITECTURAL & ENGINEERING	2. PADCO	1	5	AID-518-250	
5. VOLUNTARY AGENCY	4. CONSTRUCTION					
6. OTHER	5. OTHER COMMERCIAL					
	6. INDIVIDUAL					
	7. OTHER					

**PART I - PROJECT IMPACT**

**I-A. GENERAL NARRATIVE STATEMENT ON PROJECT EFFECTIVENESS, SIGNIFICANCE & EFFICIENCY.**

This summary narrative should begin with a brief (one or two paragraph) statement of the principal events in the history of the project since the last PAR. Following this should come a concise narrative statement which evaluates the overall efficiency, effectiveness and significance of the project from the standpoint of:

- (1) overall performance and effectiveness of project implementation in achieving stated project targets;
- (2) the contribution to achievement of sector and goal plans;
- (3) anticipated results compared to costs, i.e., efficiency in resource utilization;
- (4) the continued relevance, importance and significance of the project to country development and/or the furtherance of U.S. objectives.

Include in the above outline, as necessary and appropriate, significant remedial actions undertaken or planned. The narrative can best be done after the rest of PART I is completed. It should integrate the partial analyses in I-B and I-C into an overall balanced appraisal of the project's impact. The narrative can refer to other sections of the PAR which are pertinent. If the evaluation in the previous PAR has not significantly changed, or if the project is too new to have achieved significant results, this Part should so state.

008 NARRATIVE FOR PART I-A (Continue on form AID 1020-25 I as necessary):

Estimated obligations FY 1970 and FY 1971.

This PAR covers the period July 1, 1969 - May 31, 1970.

MISSION DIRECTOR APPROVAL →	SIGNATURE <i>[Signature]</i>	DATE 7/15/70
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## PAR CONTINUATION SHEET

This sheet is to be used for any Narrative Sections for which sufficient space has not been provided on the form. Identify each narrative by its Part and Section Designation.

The Urban Development project is still in the preliminary planning phase. The PROP is in draft form and the PIP has not been written. Several preliminary activities have been carried out to determine project directions and actions. These include contracts with PADCO (Planning and Development Collaborative) and John Westbrook. PADCO has prepared two reports: one a metropolitan strategy investigation of where attention in a socioeconomic urban development project might be placed, and the other a compilation of all previous studies prepared about Guayaquil. John Westbrook is working with the National Planning Board's regional Guayaquil office and with other local entities, such as the Ecuadorian Development Foundation, in the initial pilot and experimental stages of an employment generation program as part of the over-all assistance program in which USAID/E might participate for the development of Guayaquil and other cities of the Guayas basin.

- (1) Progress towards project targets. Progress towards the general project targets has been satisfactory. Some delays occurred in the submittal of the final PADCO reports, mainly because the National Planning Board (NPB) was slow in making its inputs. In other instances (see 8b, c, d of Part 1-B) the number of institutions to be involved cannot be specified. Because these activities began only recently, their results are not yet measurable. Nevertheless they are indicative of progress.
- (2) Contribution to the achievement of sector goals. Because the project is still in the development stage, no significant contribution has yet been made to the achievement of sector goals, although it is anticipated that once the PROP is approved and all the activities envisioned are begun, this project will have significant impact on increasing the participation of low-income groups in the political, economic and social life of the country, on promoting a more equitable distribution of income, and on increasing private investment in the development of the Guayas river basin area.
- (3) Value of results compared to their cost. For the time being this question cannot be answered, since no definite project has yet been initiated. With regard to the two phases of the over-all project which are now operative or completed, although no formal studies have been prepared, it appears that the cost of the PADCO reports and of John Westbrook's services are not excessive compared to the results to be produced or already produced.
- (4) Continuing relevance to the development of the country and the furtherance of U. S. objectives. Detaining as much as possible further exodus from the small towns to the large city and finding a way to help the urban poor in Guayaquil to participate in the economic and social life of the country are primary objectives of the U. S. Government. This project will contribute significantly to achieving those objectives, and its direct relevance makes it of continuing value to the USAID mission.

**PART I-B - PROJECT EFFECTIVENESS**

**009 I-B-1 - OUTPUT REPORT AND FORECAST - (See detailed instructions)**

1. CODE NO. AID/W USE ONLY	2. This section is designed to record progress toward the achievement of each project output target which was scheduled in the PIP, Part II. Where progress toward a target is significantly greater or less than scheduled, describe reason(s) beneath the target.	3. ACTUAL AND PLANNED OUTPUTS (ALL DATA CUMULATIVE)				6. PROJECTED TOTAL FOR PROJECT LIFE
		3 ACTUAL SUM TO 6/30/70	4. AS OF PRIOR 1969 JUNE 30		5. PLANNED BY NEXT JUNE 30	
			a. PLANNED	b. ACTUAL		
	<b>Note: No PIP for this project has been established. See page 1A.</b>					
	1. Develop PADCO metropolitan strategy report	1	1	1	-	-
	2. PADCO compilation of previous studies of Guayaquil	1	1	1	-	-
	3. Develop PADCO urban planning seminars	5	5	5	Unknown	Unknown
	4. NPB to develop preliminary Guayaquil strategy	0	1	0	1	1
	5. NPB to adopt PADCO/AID recommendations	0	1	0	1	1
	6. NPB to make contact with international organizations	0	0	0	1	1
	7. NPB to make final decision on dykes and ditches	0	0	0	1	1
	8. Establishment of employment generation program in Guayaquil with Ecuadorian Development Foundation					
	a. Identify small business opportunities	1	1	1	0	1
	b. Increase local group participation in development programs	0	0	In process	1	1
	c. Assist Ecuadorian institutions in confronting these programs	In process	-	-	1	1
	d. Select and train change agents	In process	-	-	1	1

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## PART I-B - Continued

010

## B.2 - OVERALL ACHIEVEMENT OF PROJECT TARGETS

Place an "X" within the bracket on the following seven-point scale that represents your judgment of the overall progress towards project targets



## PART I-C - PROJECT SIGNIFICANCE

011

## C.1 - RELATION TO SECTOR AND PROGRAM GOALS (See detailed instructions M.O. 1026.1)

This section is designed to indicate the potential and actual impact of the project on relevant sector and program goals. List the goals in col. b and rate potential and actual project impact in cols. c and d.

CODE NO. (AID/W USE ONLY)	SCALE FOR COLUMN c: 3= Very Important; 2= Important; 1= Secondary Importance SCALE FOR COLUMN d: 3= Superior/Outstanding; 2= Adequate/Satisfactory/Good; 1= Unsatisfactory/Marginal	c. POTENTIAL IMPACT ON EACH GOAL IF PROJECT ACHIEVES TARGETS	d. ACTUAL IMPACT ON GOAL TO DATE RELATIVE TO PROGRESS EXPECTED AT THIS STAGE
(1)	Increasing the participation of low-income groups in the political, economic and social life of the country.	3 (See CASP strategy statement)	1
(2)	Promoting a more equitable distribution of income	3 "	1
(3)	Increasing private investment	2 "	1
(4)			

For goals where column c. is rated 3 or 2 and column d. is rated 1, explain in the space for narrative. The narrative should also indicate the extent to which the potential impacts rated 3 or 2 in column c. are dependent on factors external to the achievement of the project targets, i.e., is there a substantial risk of the anticipated impact being forestalled by factors not involved in the achievement of project targets. If possible and relevant, it also would be useful to mention in the narrative your reading of any current indicators that longer-term purposes, beyond scheduled project targets, are likely or unlikely to be achieved. Each explanatory note must be identified by the number of the entry (col. b) to which it pertains.

012 NARRATIVE FOR PART I-C.1 (Continue on form AID 1020-25 I):

Since this project is still in the preliminary planning phase no specific and definite contributions have yet been made to any of the program goals. This does not indicate that the project to date has been unsatisfactory; rather it has been almost outstanding in its approach to determining what the real problems are and to finding new approaches to the problems of the urban poor and urban development. The 1 rating above should be interpreted to mean that the project's impact on program goals is in the initial phase.

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## PART I-C - Continued

## C.2 - GENERAL QUESTIONS

These questions concern developments since the prior PAR. For each question place "Y" for Yes, "N" for No, or "NA" for Not Applicable in the right hand column. For each question where "Y" is entered, explain briefly in the space below the table.	MARK IN THIS COL.
013 Have there been any significant, unusual or unanticipated results not covered so far in this PAR?	N
014 Have means, conditions or activities other than project measures had a substantial effect on project output or accomplishments?	N
015 Have any problems arisen as the result of advice or action or major contributions to the project by another donor?	N
016 If the answer to 014 or 015 is yes, or for any other reason, is the project now less necessary, unnecessary or subject to modification or earlier termination?	N
017 Have any important lessons, positive or negative, emerged which might have broad applicability?	Y
018 Has this project revealed any requirement for research or new technical aids on which AID/W should take the initiative?	Y
019 Do any aspects of the project lend themselves to publicity in newspapers, magazines, television or films in the United States?	N
020 Has there been a lack of effective cooperating country media coverage? (Make sure AID/W has copies of existing coverage.)	N

021 NARRATIVE FOR PART I-C.2 Identify each explanatory note by the number of the entry to which it pertains. (Continue on form AID 1020-25 I as necessary):

017 - In the initial planning phase it was discovered that awareness of and sensitivity to the political realities of a municipal government are of prime importance. The former Mayor of Guayaquil appeared to be unwilling to support any development project that would not increase his own image before the public in a very direct and concrete way. These realities must be considered.

018 - Very little information is known about slum organization, slum-dweller attitudes and ambitions. A series of socioeconomic data is needed to facilitate further development of the project. Regional funds have been requested from AID/W to cover the costs of obtaining such information.

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**518-15-990-092.3****PART II - IMPLEMENTATION REPORT****II-A - STATUS OF SCHEDULE**

022 A-1 - INDIVIDUAL ACTIONS (See detailed instructions M.O. 1026.1). This is a listing of major actions or steps which were scheduled for physical start or continuing implementation in the reporting period as reflected in the Project Implementation Plan, Part I.

(a) PIP ITEM NO.	MAJOR ACTIONS OR STEPS; CAUSES AND RESULTS OF DELAYS; REMEDIAL STEPS	(b) STATUS - PLACE AN "X" IN, ONE COLUMN		
		(1) BEHIND SCHEDULE	(2) ON SCHEDULE	(3) AHEAD OF SCHEDULE
	<p>As indicated on page 1A, this project is in its preliminary phase and the documentation relative to it has not been completed. Foreseeable major actions will be as follows:</p> <ol style="list-style-type: none"> <li>1. Encourage the National Planning Board (NPB) in Guayaquil to establish an urban development strategy.</li> <li>2. Provide financial assistance to the NPB to enable it to employ additional technicians to assist the Municipality of Guayaquil in dealing with urban development issues.</li> <li>3. Use the research component of the Civic Development Institute to help the NPB strengthen its research capabilities.</li> <li>4. Work towards a community education phase of the NPB's metropolitan guidance strategy to enlist the services of groups of local citizens in acting on local development issues.</li> <li>5. Provide advisory assistance to the Ecuadorian Housing Bank (BEV) in its efforts to establish a sites and services program to help low income groups improve their standard of living.</li> <li>6. Work with the Ecuadorian Development Foundation towards a support activity for small business to increase employment opportunities for low-income groups.</li> </ol>			

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**PART II - Continued**

**023 II-A.2 - OVERALL TIMELINESS**

In general, project implementation is (place an "X" in one block):

<p>BLOCK (c): If marked, place an "X" in any of the blocks one thru eight that apply. This is limited to key aspects of implementation, e.g., timely delivery of commodities, return of participants to assume their project responsibilities, cooperating country funding, arrival of technicians.</p>	(a) On schedule	
	(b) Ahead of schedule	
	(c) Behind schedule	<b>X</b>
	(1) AID/W Program Approval	
	(2) Implementing Agency (Contractor/Participating Agency/Voluntary Agency)	<b>X</b>
	(3) Technicians	
	(4) Participants	
	(5) Commodities (non-FFF)	
	(6) Cooperating Country	<b>X</b>
(7) Commodities (FFF)		
(8) Other (specify):		

**II-B - RESOURCE INPUTS**

This section appraises the effectiveness of U.S. resource inputs. There follow illustrative lists of factors, grouped under Implementing Agency, Participant Training and Commodities, that might influence the effectiveness of each of these types of project resources. In the blocks after only those factors which significantly affect project accomplishments, write the letter P if effect is positive or satisfactory, or the letter N if effect is negative or less than satisfactory.

**1. FACTORS-IMPLEMENTING AGENCY (Contract/Participating Agency/Voluntary Agency)**

024 IF NO IMPLEMENTING AGENCY IN THIS PROJECT. PLACE AN "X" IN THIS BLOCK:	032 Quality, comprehensiveness and candor of required reports	<b>P</b>
	033 Promptness of required reports	<b>P</b>
025 Adequacy of technical knowledge	034 Adherence to work schedule	<b>P</b>
026 Understanding of project purposes	035 Working relations with Americans	<b>P</b>
027 Project planning and management	036 Working relations with cooperating country nationals	<b>P</b>
028 Ability to adapt technical knowledge to local situation	037 Adaptation to local working and living environment	<b>P</b>
029 Effective use of participant training element	038 Home office backstopping and substantive interest	
030 Ability to train and utilize local staff	039 Timely recruiting of qualified technicians	<b>P</b>
031 Adherence to AID administrative and other requirements	040 Other (describe):	

**2. FACTORS-PARTICIPANT TRAINING**

041 IF NO PARTICIPANT ELEMENT IN PROJECT. PLACE AN "X" IN THIS BLOCK:	<b>TRAINING UTILIZATION AND FOLLOW UP</b>	
	052 Appropriateness of original selection	<b>X</b>
042 PREDEPARTURE	053 Relevance of training for present project purposes	
043 English language ability	054 Appropriateness of post-training placement	
044 Availability of host country funding	055 Utility of training regardless of changes in project	
045 Host country operational considerations (e.g., selection procedures)	056 Ability to get meritorious ideas accepted by supervisors	
046 Technical/professional qualifications	057 Adequacy of performance	
047 Quality of technical orientation	058 Continuance on project	
048 Participants' collaboration in planning content of program	059 Availability of necessary facilities and equipment	
049 Collaboration by participants' supervisors in planning training	060 Mission or contractor follow-up activity	
050 Participants' availability for training	061 Other (describe):	
051 Other (describe):		

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## PART II-B - Continued

## 3. FACTORS-COMMODITIES

PLACE AN "X" IN APPROPRIATE BLOCK:	062 FFF	063 NON-FFF	064 NO COMMODITY ELEMENT	X	072 Control measures against damage and deterioration in shipment.
065 Timeliness of AID/W program approval (i.e., PIO/C, Transfer Authorization).					073 Control measures against deterioration in storage.
066 Quality of commodities, adherence to specifications, marking.					074 Readiness and availability of facilities.
067 Timeliness in procurement or reconditioning.					075 Appropriateness of use of commodities.
068 Timeliness of shipment to port of entry.					076 Maintenance and spares support.
069 Adequacy of port and inland storage facilities.					077 Adequacy of property records, accounting and controls.
070 Timeliness of shipment from port to site.					078 Other (Describe):
071 Control measures against loss and theft.					

Indicate in a concise narrative statement (under the heading a. Overall Implementation Performance, below) your summary appraisal of the status of project implementation, covering both significant achievements and problem areas. This should include any comments about the adequacy of provision of direct hire technicians as well as an overall appraisal of the comments provided under the three headings (b, c & d) which follow. For projects which include a dollar input for generation of local currency to meet local cost requirements, indicate the status of that input (see Detailed Instructions).

Discuss separately (under separate headings b, c & d) the status of Implementing Agency Actions, Participants and Commodities. Where above listed factors are causing significant problems (marked N), describe briefly in the appropriate narrative section: (1) the cause and source of the problem, (2) the consequences of not correcting it, and (3) what corrective action has been taken, called for, or planned by the Mission. Identify each factor discussed by its number.

079 NARRATIVE FOR PART II-B: (After narrative section a. Overall Implementation Performance, below, follow, on form AID 1020-25 I as needed, with the following narrative section headings: b. Implementing Agency, c. Participants, d. Commodities. List all narrative section headings in order. For any headings which are not applicable, mark them as such and follow immediately below with the next narrative section heading.)

a. Overall Implementation Performance.

The project is somewhat (4 months) behind schedule because of the complexities of reviewing the PADCO reports within the National Planning Board (NPB) and determining an urban development policy which can be reflected in the comments to PADCO prior to the issuance of a final report. The final reports are expected momentarily.

b. Implementing Agency: The office of the National Planning Board in Guayaquil has provided necessary backstopping to the Westbrook phase of the project. No changes can be suggested. John Westbrook, also a contractor, has worked intensively developing the small industries aspect of the project and his performance is more than satisfactory to date. PADCO has satisfactorily completed the two reports for which it was contracted, and also has provided, at no cost to USAID, services beyond those called for in the contract. PADCO's interest and frankness in providing recommendations and evaluations are contributing very positively to the progress of the urban development project.

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## PART III - ROLE OF THE COOPERATING COUNTRY

The following list of illustrative items are to be considered by the evaluator. In the block after only those items which significantly affect project effectiveness, write the letter P if the effect of the item is positive or satisfactory, or the letter N if the effect of the item is negative or less than satisfactory.

SPECIFIC OPERATIONAL FACTORS:	
080 Coordination and cooperation within and between ministries.	P
081 Coordination and cooperation of LDC gov't. with public and private institutions and private enterprise.	P
082 Availability of reliable data for project planning, control and evaluation.	N
083 Competence and/or continuity in executive leadership of project.	P
084 Host country project funding.	
085 Legislative changes relevant to project purposes.	
086 Existence and adequacy of a project-related LDC organization.	P
087 Resolution of procedural and bureaucratic problems.	P
088 Availability of LDC physical resource inputs and/or supporting services and facilities.	P
089 Maintenance of facilities and equipment.	
090 Resolution of tribal, class or caste problems.	
091 Receptivity to change and innovation.	P
092 Political conditions specific to project.	N
093 Capacity to transform ideas into actions, i.e., ability to implement project plans.	P
094 Incent and/or capacity to sustain and expand the impact of the project after U.S. inputs are terminated.	P
095 Extent of LDC efforts to widen the dissemination of project benefits and services.	P
096 Utilization of trained manpower (e.g., participants, counterpart technicians) in project operations.	
097 Enforcement of relevant procedures (e.g., newly established tax collection and audit system).	
098 Other:	
HOST COUNTRY COUNTERPART TECHNICIAN FACTORS:	
099 Level of technical education and/or technical experience.	
100 Planning and management skills.	
101 Amount of technician man years available.	
102 Continuity of staff.	
103 Willingness to work in rural areas.	
104 Pay and allowances.	
105 Other:	

In the space below for narrative provide a succinct discussion and overall appraisal of the quality of country performance related to this project, particularly over the past year. Consider important trends and prospects. See Detailed Instructions for an illustrative list of considerations to be covered.

For only those items marked N include brief statements covering the nature of the problem, its impact on the achievement of project targets (i.e., its importance) and the nature and cost of corrective action taken or planned. Identify each explanatory note.

106 NARRATIVE FOR PART III (Continue on form AID 1020-25 I):

082 - There is a scarcity of data of any sort and this lack is a hardship for those working in the project. The host country has provided the assistance it can to obtain such data, but resources and capabilities to collect them are lacking.

092 - Until the recent elections, the former mayor of Guayaquil was a deterrent to the rapid development of the Guayaquil urban development project. The new mayor is positive and very cooperative.

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Indicate in a brief narrative whether the Mission experience to date with this project and/or changing country circumstances call for some adjustment in project purposes or design, and why, and the approximate cost implications. Cover any of the following considerations or others that may be relevant. (See Detailed Instructions for additional illustrative considerations.) Relevant experience or country situations that were described earlier can simply be referenced. The spelling out of specific changes should be left to the appropriate programming documents, but a brief indication of the type of change contemplated should be given here to clarify the need for change. For example, changes might be indicated if they would:

1. better achieve program/project purposes;
2. address more critical or higher priority purposes within a goal plan;
3. produce desired results at less cost;
4. give more assurance of lasting institutional development upon U.S. withdrawal.

107 NARRATIVE FOR PART IV-A (Continue on form AID 1020-25 I):

No changes in the project should be made other than those indicated in the Urban Development PROP which will be issued shortly.

**IV-B - PROPOSED ACTION**

108 This project should be (Place an "X" in appropriate block(s)):

- |  |  |
|--|--|
| 1. Continued as presently scheduled in PIP.  |  |
| 2. Continued with minor changes in the PIP, made at Mission level (not requiring submission of an amended PIP to AID/W).             |  |
| 3. Continued with significant changes in the PIP (but not sufficient to require a revised PROP). A formally revised PIP will follow. |  |
| 4. Extended beyond its present schedule to (Date): Mo. ___ Day ___ Yr. ___. Explain in narrative, PROP will follow.                  |  |
| 5. Substantively revised. PROP will follow.  |  |
| 6. Evaluated in depth to determine its effectiveness, future scope, and duration.  |  |
| 7. Discontinued earlier than presently scheduled. Date recommended for termination: Mo. ___ Day ___ Yr. ___                          |  |
| 8. Other. Explain in narrative.  |  |

109 NARRATIVE FOR PART IV-B:

No PROP has yet been submitted or approved, although one is now in draft form. It is anticipated that a PROP will shortly be available. It will indicate the decisions made about project philosophy and direction.

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