

PROJECT PAPER

EVALUATION ASSISTANCE PROJECT

Project Number 683-0229

Life of Project:	3 years
Initial Year:	FY 1981
Total Cost:	\$2,000,000

Niamey, Niger

ACTION MEMORANDUM FOR THE MISSION DIRECTOR

From: C. Pippitt, Chairman, Project Committee

Subject: Evaluation Assistance Project, 683-0229

PROBLEM: Your approval is required to execute a grant of \$2,000,000 from the Sahel Development Program (SH) appropriation to the Government of the Republic of Niger for the Evaluation Assistance Project, 683-0229. Your approval is also required to authorize the attached waiver.

DISCUSSION: The proposed project is intended to contribute to the overall goal of increasing the efficiency and effectiveness of the Niger Government's development program management and administration. The purpose of the project is to establish within the Ministry of Plan a program evaluation capability which will 1) improve the performance and increase the success of programs in which feedback from ongoing evaluations can affect policy decisions, and 2) improve the linkages and information exchanges between the Ministry of Plan and the technical ministries, thus allowing for improved program evaluation and planning. By the end of the project, a Nigerien capability to conduct high quality, systematic program evaluations will exist in the Ministry of Plan's Bureau of Evaluation. An information system including a data bank will be in operation to serve evaluation activities. Moreover, the results of these program evaluations will be fed back into the planning process and used in the updating and revising of the Five Year National Development Plan.

The project will provide eight person-years of the technical assistance services of a Social Analyst and a Public Administration Specialist, two person years of short-term technical services, six person-years of graduate training in the U.S., twelve person-years of long and short-term training in third countries, and commodities, including vehicles and mini-computers. The project will be implemented by the Bureau of Evaluation in the Ministry of Plan where a series of training sessions and practical in-service training activities will provide the members of the Bureau with the skills and experience to carry out program evaluations in a wide variety of sectors. The Ministry of Plan's Documentation Center will be augmented with evaluation materials and information, and a data bank will be established. This Documentation Center/data bank will make materials available to the various technical ministries and, in turn, collect documents and evaluation reports from these ministries.

AID assistance for the project will amount to \$2,000,000 for the technical assistance, training, commodities and equipment; \$600,000 of this total LOP will be made available in the first year. The GON will support the project with some \$539,000 for professional and administrative personnel, office space and administrative support costs, and the GON share of participant training costs in the U.S. and third countries. This GON contribution amounts to 21% of the total GON and U.S. project costs.

The project has been determined by the USAID Project Committee to be economically, financially and technically feasible. The Government of Niger agencies responsible for project execution, in conjunction with project-provided technical assistance, are judged adequate to provide the administrative capability required for project implementation.

An Initial Environmental Examination submitted with the PID established a negative determination for these activities.

The project is in conformance with, and supports, both the Government of Niger's Development Plan and the Mission's Country Development Strategy Statement. The Mission Director is attesting that sufficient planning and analysis have been performed to provide a reasonably firm cost estimate to the U.S. Government, and that the requirements of Section 611 (a) of the Foreign Assistance Act of 1961, as amended have been met. The Mission Director has also certified that Niger has the financial capability and human resources to maintain and utilize effectively the goods and services procured under this project.

The statutory checklists have been satisfactorily completed and are included as Annex G to the Project Paper. Appropriate Conditions Precedent and Covenants for inclusion in the Grant Agreement have been prepared.

USAID/Niger and the Government of Niger have collaborated closely in the design of this project. The Government of Niger's official request for assistance from the United States Government was submitted on January 21, 1981.

The Project Committee is requesting that a waiver be granted in the project authorization document for AID Geographic Code 935 procurement of two vehicles. Justification for this waiver is included in Annex D of the Project Paper.

A Congressional Notification was submitted on May 20, 1981 and expired on June 3, 1981, without objection.

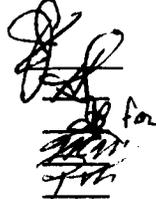
The Project Committee met on June 2, 1981 and, concluding that there were no unresolved issues, recommended that the project be forwarded to you for authorization.

In accordance with the Delegation of Authority to the USAID to approve and amend projects contained in Section 3A of African Delegation of Authority No. 141, February 2, 1979, and as amended, the USAID/Niger Mission Director is authorized to approve projects where the life of project funding does not exceed \$5,000,000 provided that the Assistant Administrator for Africa has approved the PID. The PID for the Evaluation Assistance project was submitted to AID/Washington in April 1981, requesting approval and authority to fund the resulting project under the authority cited above. The PID was reviewed and approved by the Assistant Administrator for Africa on May 11, 1981. State 126586 authorized the Mission to prepare the Project Paper for approval and authorization in the field in accordance with the above cited Delegation of Authority.

RECOMMENDATION: The Project Committee recommends that you sign the attached Project Authorization, and thereby approve 1) the proposed grant of \$2,000,000 for the implementation of the Evaluation Assistance Project and 2) the requested waiver.

Clearances: CPippitt, Chairman, Project Committee CP

JLovaas, A/DIR  
HShropshire, Controller  
MGolden, Program  
WMeeks, PMSU  
PMcDuffie, Training

Handwritten signatures and initials, including a large signature at the top, a signature with 'for' written below it, and several other initials and signatures below.

Drafted: CPippitt, PDE 6.3.81. CP

PROJECT AUTHORIZATION

Country: Republic of Niger  
Project: Evaluation Assistance  
Project Number: 683-0229

Pursuant to Part I, Chapter I, Section 103 of the Foreign Assistance Act of 1961, as amended (the "Act"), I hereby authorize the Evaluation Assistance Project for the Republic of Niger (the "Cooperating Country") involving planned obligations of not to exceed Two Million United States Dollars (\$2,000,000) in grant funds over a three year period from date of authorization, subject to the availability of funds in accordance with the AID OYB allotment process, to assist in financing certain foreign exchange and local currency costs for the Project. No project Grant Agreement shall be executed and no other obligation of funds under this project shall be made until the funds obligated shall have been allotted to the Mission and the waiting period following Congressional notification shall have passed without objection being raised by Congress.

The Project will assist the Ministry of Plan to firmly establish within the Bureau of Evaluation a program evaluation capability which will 1) improve the performance and increase the success of programs in which feedback from ongoing evaluations can affect policy decisions, and 2) improve the linkages and information exchanges between the Ministry of Plan and the technical ministries. AID assistance will be provided for financing technical assistance, training in the U.S. and third countries, commodities and equipment, and certain other costs.

The Project Agreement, which may be negotiated and executed by the officer to whom such authority is delegated in accordance with AID regulations and Delegations of Authority, shall be subject to the following essential terms and covenants and major conditions as AID may deem appropriate.

A. Source and Origin of Goods and Services: Goods and services, except for ocean shipping, financed by AID under the Project shall have their source and origin in the Cooperating Country or countries, included in AID Geographic Code 941 except as AID may otherwise agree in writing. Ocean shipping financed by AID under the Grant shall, except as AID may otherwise agree in writing, be financed only on flag vessels of the United States or the Cooperating Country.

B. Conditions Precedent to Initial Disbursement of Funds:

Prior to any disbursement under the grant or the issuance of any commitment documents pursuant to which disbursements will be made, the Government of Niger shall furnish to AID in form and substance satisfactory to AID, evidence that a Nigerien Project Director has been assigned and delegated all necessary authorities required to implement the Project.

C. Covenants:

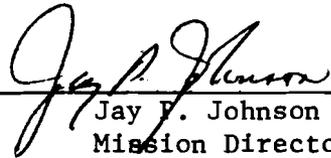
The Cooperating Country covenants the following:

1. The Government of Niger covenants to establish the Bureau of Evaluation at a level equal to or above that of a Directorate and to make it directly responsible to the Minister of Plan or the Secretary-General.
2. The Government of Niger covenants to provide to the Project within 120 days following execution of the Project Agreement the full-time personnel, including at least three cadres superieurs and a secretary, necessary to the operations of an effective and permanent Evaluation unit -- and to assign these persons for a period of not less than three years.
3. The Government of Niger covenants to make available, in addition to personnel described in Covenant number 2 above, three qualified participant trainees for long-term training programs in the United States.
4. The Government of Niger covenants to place all persons who have received participant training under the Project into full-time positions which involve evaluation duties and are appropriate for the level of training which the participant has received.

D. Waivers:

Notwithstanding paragraph A above, and based upon the justification set forth in Annex D of the Project Paper, I hereby approve a procurement source/origin waiver from Niger and AID Geographic Code 941 to Geographic

935 (Free World) for two vehicles, provided that the amount of such procurement shall not exceed \$25,000 and certify that the exclusion of such procurement from Free World countries other than the Cooperating Country and countries included in Code 941 would seriously impede attainment of U.S. foreign policy objectives and the objectives of the foreign assistance program, and further certify that special circumstances exist which justify waiver of the requirements of Section 636 (i) of the Foreign Assistance Act.

  
Jay P. Johnson  
Mission Director

  
Date

<b>AGENCY FOR INTERNATIONAL DEVELOPMENT</b> <b>PROJECT DATA SHEET</b>	<b>1. TRANSACTION CODE</b> <input type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete	Amendment Number _____	<b>DOCUMENT CODE</b> 3
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<b>2. COUNTRY/ENTITY</b> USAID/NIGER	<b>3. PROJECT NUMBER</b> 683-0229
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<b>4. BUREAU/OFFICE</b> AFR	<b>5. PROJECT TITLE (maximum 40 characters)</b> Evaluation Assistance Project
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<b>6. PROJECT ASSISTANCE COMPLETION DATE (PACD)</b> MM DD YY 1   2   3   1   8   5	<b>7. ESTIMATED DATE OF OBLIGATION</b> (Under 'B.' below, enter 1, 2, 3, or 4) A. Initial FY <u>81</u> B. Quarter <u>II</u> C. Final FY <u>82</u>
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8. COSTS (\$000 OR EQUIVALENT \$1 = )						
A. FUNDING SOURCE	FIRST FY <u>81</u>			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	490	110	600	1,602	398	2,000
(Grant)	( 490 )	( 110 )	( 600 )	( 1,602 )	( 398 )	( 2,000 )
(Loan)	(       )	(       )	(       )	(       )	(       )	(       )
Other U.S. 1.						
2.						
Host Country		160	160		539	539
Other Donor(s)						
<b>TOTALS</b>	490	270	760		937	2,539

9. SCHEDULE OF AID FUNDING (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) SH	684	710		-	-	2,000		2,000	
(2)									
(3)									
(4)									
<b>TOTALS</b>						2,000		2,000	

<b>10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)</b>	<b>11. SECONDARY PURPOSE CODE</b>
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<b>12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)</b>			
A. Code			
B. Amount			

<b>13. PROJECT PURPOSE (maximum 480 characters)</b> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p>To establish a functioning program evaluation support unit in the Ministry of Plan and effective linkages and information exchanges with the technical ministries.</p> </div>
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<b>14. SCHEDULED EVALUATIONS</b> Interim MM YY   MM YY   Final MM YY 0   1   8   3   0   3   8   4   1   2   8   4	<b>15. SOURCE/ORIGIN OF GOODS AND SERVICES</b> <input type="checkbox"/> 000 <input checked="" type="checkbox"/> 941 <input checked="" type="checkbox"/> Local <input type="checkbox"/> Other (Specify) _____
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<b>16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a _____ page PP Amendment.)</b>
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<b>17. APPROVED BY</b>	Signature: Title: Jay P. Johnson Mission Director, USAID/Niger	Date Signed MM DD YY 0   7   0   1   8   1	<b>18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION</b> MM DD YY
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- H. Participant International Travel Statement
- I. PID Facesheet
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## I. Recommendations and Project Summary

A. Grant: \$2,000,000

B. Waiver: From Geographic Code 941 (Selected Free World) to Code 935 (Special Free World) for the purchase of two light passenger vehicles.

### C. Description of Project:

#### 1. Project Components

USAID: 8 person years of technical assistance long and short-term in program evaluation and management training, 6 person years of long-term training in the U.S., 12 person years of long and short-term training in third countries, commodities, including vehicles and mini-computers.

GON: 4 professionals for the National Bureau of Evaluation, office space and administrative support, 3 participants for long-term training in the U.S., 2 participants for long-term third country training and individuals for short-term training in third countries and Niger.

#### 2. Purpose

The purpose of the project is to establish in the GON Ministry of Plan a program evaluation capability which will:

- a. improve the performance and increase the success of programs in which feedback from ongoing evaluations can affect policy decisions.
- b. improve the linkages and information exchanges between the Ministry of Plan and the technical ministries, thus allowing for improved program evaluations and planning.

#### 3. Implementation

The project will be implemented by the Evaluation Bureau (EB) of the Ministry of Plan in coordination with the various technical ministries and their evaluation cells. A series of carefully planned training sessions and closely supervised practical in-service training activities will be employed to provide the members of the Bureau with the skills and experience to carry out program evaluation in a wide variety of sectors without the need for outside technical assistance.

The documentation center in the Ministry of Plan will be improved, especially in the area of evaluation, and a data bank will be established. The documentation center-data bank will make materials available to the various technical ministries, as needed, and in turn collect documents

and evaluation reports from these ministries. This improved information system will provide support for the program evaluation activities of the Evaluation Bureau and the project evaluation activities of the evaluation cells of technical ministries.

#### 4. End of Project Status

A Nigerien capability to conduct high quality systematic program evaluations will exist in the form of the Bureau of Evaluation. An information system including a data bank will be in operation and serve to support program evaluation activities. Several national program/sector and regional (departmental) program evaluations will have been completed and a plan developed for continuing program evaluations. A system will exist whereby the results of program evaluations will be used as feedback for the planning process and used in the updating and revision of the Five Year National Development Plan.

#### 5. Summary Findings

There is a lack of a program evaluation capability in the Ministry of Plan which makes planning a difficult and often inadequate process. In some cases the linkages between the Ministry of Plan and the various technical ministries are so tenuous that evaluation reports, when they do exist, are not exchanged and considerable duplication of effort takes place. Given existing personnel and resource shortages in the GON, evaluation frequently amounts to little more than sending around less than satisfactory questionnaires which are either ignored or filled out on the basis of guesswork and gross estimation.

To date, the evaluation activities of the Ministry of Plan have been largely confined to financial evaluation. This function, while an important bookkeeping and control activity, bears little relation to the kind of program evaluation actions needed as input to the planning process. Much of the evaluation work which does take place is initiated by various donors, is highly suspect in the G.O.N. ministries, and is rarely considered in government planning.

Based on experience in other LDCs, a program evaluation capability can be developed in the GON through the use of short-courses, in-service training, applied evaluation exercises and long-term training. These activities will be supported by long-term technicians and short-term consultants who will work closely with the Bureau staff to impart the skills and experience vital to the development of an independent GON program evaluation capability.

A grant in the amount of \$2,000,000 is to be authorized to the Government of the Republic of Niger in FY 1981 for the execution of the Evaluation Assistance Project as described in the following section of this Project Paper. Under Delegation of Authority No. 141, the USAID/Niger Mission Director was delegated the authority to approve projects where the life of project funding does not exceed \$5,000,000, provided that the Assistant Administrator for Africa has approved the PID. The PID for this project was submitted in April 1981 and approved by the Assistant Administrator on May 8, 1981. State 126586 authorized the Mission to prepare a Project Paper for approval and authorization in the field in accordance with DA 141.

All of the issues raised at the PID review have been satisfactorily resolved during final project design. The project has been determined to be economically, financially and technically feasible. The GON agencies responsible for project execution, with the support of project-provided technical assistance, have been found to be adequate to provide the necessary administrative capability for project administration.

The USAID/Niger Mission Director attests that sufficient planning and analysis have been performed to provide a reasonably firm costs estimate to the U.S. Government and that a determination can be made that the requirements of 611(a) of the Foreign Assistance Act of 1961, as amended, have been met. The Mission Director has also certified that Niger has the financial capability and human resources to maintain and utilize effectively the goods and services procured under this project. An Initial Environmental Examination has been completed and a negative determination was recommended and approved on May 11, 1981.

The project is in conformance with and supports both the GON's Development Plan and the Mission's Country Development Strategy Statement. The Social Soundness and Economic Analyses indicate that the ultimate beneficiaries of this project will be the rural population of Niger who are among the poorest people in the world. As a consequence, this project also conforms to the Congressional Mandate.

This project meets all other applicable statutory criteria, with the exception listed above in Section A, for which a waiver is being requested. The statutory checklist can be found in Annex G.

## 6. Project Issues

A number of technical and administrative issues were raised during the PID review in Washington. Those issues, and a few which have been raised by the Niger Mission and the project design team, are addressed below. (A copy of the AID/Washington PID review reporting cable is attached as an annex to this paper.)

a. Definition of Evaluation

The notion of what constitutes evaluation was not adequately clarified in the PID and several questions regarding this issue were raised during the examination of that document. Is the concept of evaluation to be confined to ex-ante, ex post, monitoring effectiveness, or a combination of these? Toward which level of evaluation is the project oriented: projects, or programs, or both? Are the conceptions of evaluation held by the GON consistent with those held by AID?

The concept of evaluation being employed here is that of a systematic tool of management. A tool which can provide feedback to decision makers, and which can be used to redesign or modify programs and projects and improve the chances of success. It is an ongoing process which includes input into design as well as monitoring of impact and effectiveness. (For a more complete discussion, see Part II, Detailed Description).

Training efforts will center around program and sector-level evaluations. An indirect function of the project will be to upgrade project evaluation activities in the technical ministries. This will be accomplished by providing technical assistance to those ministries which have not yet established evaluation units and are interested in so doing.

Perhaps the most important issue is the concurrence between the GON and AID on the meaning of evaluation. This point has been satisfactorily clarified in the course of discussions with Ministry of Plan personnel and in a paper on the subject prepared by the staff of the Ministry of Plan (see Appendix A). The basic principles outlined in that paper are totally consistent with the definition of evaluation presented here and elaborated upon in a later section of this paper.

b. Nigerien Personnel

The existence of an adequate number of higher level (cadre superieur) personnel in the Ministry of Plan to staff the Evaluation Bureau is of the utmost importance for this project. It is absolutely not the intention of this project to provide American technicians to fill formal positions in the Ministry and to perform Ministry functions on their own as would regular Ministry staff. Such a system is all too pervasive in the GON and other LDCs. Once the donor technical personnel leave, the unit in which they served again suffers from all the weaknesses of a new organization. All possibilities of developing an institutional memory and appropriate on-the-job experience for newly trained cadres are lost.

U.S. technical personnel will at all times be working directly with GON counterparts. This effort must be geared to institution building, rather than to short-term coping with staffing problems. At this point in time, it seems that the GON will be able to provide personnel in adequate numbers to staff the Evaluation Bureau. Whether there are sufficient cadres available for both staffing and long term training in the U.S. and third countries remains to be seen. The issue of counterparts, or the lack thereof, has been an important factor in either reducing the effectiveness of, or completely undermining the impact of development efforts in many LDCs and is an especially important problem in the Sahel. This project should not be undertaken unless the requisite number of Nigeriens are named to the Evaluation Bureau.

The current lack of trained, experienced middle level cadres (cadres moyen) must also be dealt with. Those Nigeriens trained by the expatriate staff will themselves be trained as trainers of middle level cadres.

c. The Location of the Evaluation Bureau in the Ministry of Plan

In order to perform its functions effectively the Bureau of Evaluation must (1) be relatively autonomous (independent of the various directorates in the Ministry) so it can carry out independent evaluations, and (2) be placed high enough in the Ministry's organization so that it will have sufficient credibility and weight to insure that feedback from the evaluation process will actually reach important decision makers.

Currently the unit charged with evaluation is located in the Division for the Coordination of the Evaluation of Plans and Programs (Division de Coordination des travaux d'evaluation des Plans et des Programmes) under the Service of Studies and Economic Analysis (Le Service des Etudes et de l'Analyse Economique) of the Directorate of Programs and Plan (La Direction des Programmes et du Plan). Thus, the evaluation unit is only a small part of one of four services, in one of the five directions in the ministry. It is thus lacking in both independence, credibility and weight.

It is being proposed here that the Bureau of Evaluation be given the status of a directorate. This is a view which is concurred in by staff members in the Ministry of Plan. The whole evaluation effort would be much stronger and more satisfactory if a new directorate-level unit of Evaluation were established. Alternatively the Bureau of Evaluation could be attached directly to the Minister. Such a unit could then report to the Minister of Plan and be charged with specific evaluation activities in accord with priorities set by him. If the evaluation unit were kept in its present position the project would have less than optimal impact and the investment would probably not be justified.

d. U.S. Personnel - Long vs. Short-term

The PID review raised the question of whether emphasis should be placed on long or short-term personnel and how well defined such positions should be. One of the prime issues raised was that of the possibilities in terms of recruitment. It is felt that long-term assistance will provide for consistency, the establishment of more effective interpersonal and interagency relations, better and more practical training, a more efficient utilization of resources, and a more effective work plan for the project. The variety of skills needed over the long term can probably not be found in a single individual. A two person long-term American team (see job descriptions) with complementary skills and experience is therefore desirable. Some of the short-term technical assistance (consulting) suggested in the PID has been shifted into this position. It is also felt that it will be possible to identify and recruit American technicians who possess the appropriate skills, language competency and experience.

e. Training - Short vs. Long-term, In-country vs. U.S. or Third Country

To as great an extent as possible, training should be conducted in-country and be directly related to practical on-the-job needs of Nigerien personnel. Most of the anticipated training will be of this type. For those participants sent to the U.S. or to third countries for long-term training (Masters' degrees) a return trip to Niger between the first and second years (or between the second and third years if the programs take three years) will be integrated into their degree programs. This period will include six weeks of applied action training with the project team.

f. Role of the Other Donors and Participants

(1) World Bank - The World Bank has agreed to participate in a complementary effort to upgrade the evaluation capabilities in the Ministry of Plan. To that end they will probably be seconding one micro and one macro economist to the Ministry. The AID team is being designed with the understanding that these two economists will interact on a regular basis with AID technicians, and that the economists will probably be assigned to the evaluation unit. However, as of this writing, the exact nature of those interrelations and of the World Bank's participation remains unclear. An appropriate working relationship needs to be worked out in the near future.

(2) Peace Corps - Discussions have been initiated with the Peace Corps in Niger to determine if they would be willing to participate in this project by providing a replacement instructor for the National School of Administration (ENA) and/or a librarian to help organize the documentation center.

Given appropriate lead time (approximately one year), the Peace Corps has indicated its interest and willingness to assist in this program.

(3) Fulbright Scholar - The possibility of obtaining the services of a Fulbright fellow to take up the teaching post in ENA should also be explored.

g. Equipment

(1) Vehicles - some of the most important constraints on evaluation efforts in the Sahel are logistical in nature. In order to carry out the applied evaluation training exercises, the regular and all-terrain vehicles called for in the PID are deemed to be absolutely essential to the success of this project.

(2) Equipment - Some doubts have been raised about the possible need for and utilization and maintenance of highly sophisticated computers and software in Niger for this project. As presently conceived, it is felt that most of the cataloguing and data storage and processing needs of the evaluation Bureau can be met through the purchase of mini-computers currently available on the U.S. market (the Apple II for example.) These machines are low cost, lightweight, relatively low in maintenance costs and easy to operate (and to learn to operate). They will be an important part of the information system being developed and will provide an important link between the Ministry of Plan and the technical ministries. Appropriate packaged software will be provided.

h. Existing Project Evaluation Programs

It is quite clear that program and sectoral evaluation cannot be successfully undertaken without adequate project evaluation. Currently several ministries, most notably the Ministry of Rural Development (through BEPRO), are in the process of organizing and training individuals for work in project evaluation cells. Where this is not occurring, as in the Ministry of Health, for example, the Evaluation Bureau will offer assistance (mostly training, but perhaps some short-term technical assistance) in establishing such a unit. The most critical task will be for the Ministry of Plan's Bureau of Evaluation to establish effective linkages and information exchanges with the technical ministries. Although this is a delicate task, requiring inter-personal skills and diplomacy, it is felt that it can be achieved.

II. Project Background and Detailed Description

A. Background :

Like many other LDCs, Niger suffers from a shortage of trained cadres. The heavy involvement of a variety of foreign donors in Niger since the Sahelian drought, coupled with the GON's efforts to create a "development

society", has placed a tremendous burden on the planning process. While the Ministry of Plan is involved in a continuous planning effort, it often experiences great difficulties in assessing ongoing programs due to 1) the lack of reliable data; 2) the shortage of trained manpower; and 3) the lack of an organizational component charged with systematic evaluation. Without a capability to evaluate programs and/or projects the GON must rely, to a large extent, on guesswork and inadequate, unsystematic estimates of its activities. Thus, the Ministry of Plan currently must operate under conditions which make planning less than optimal.

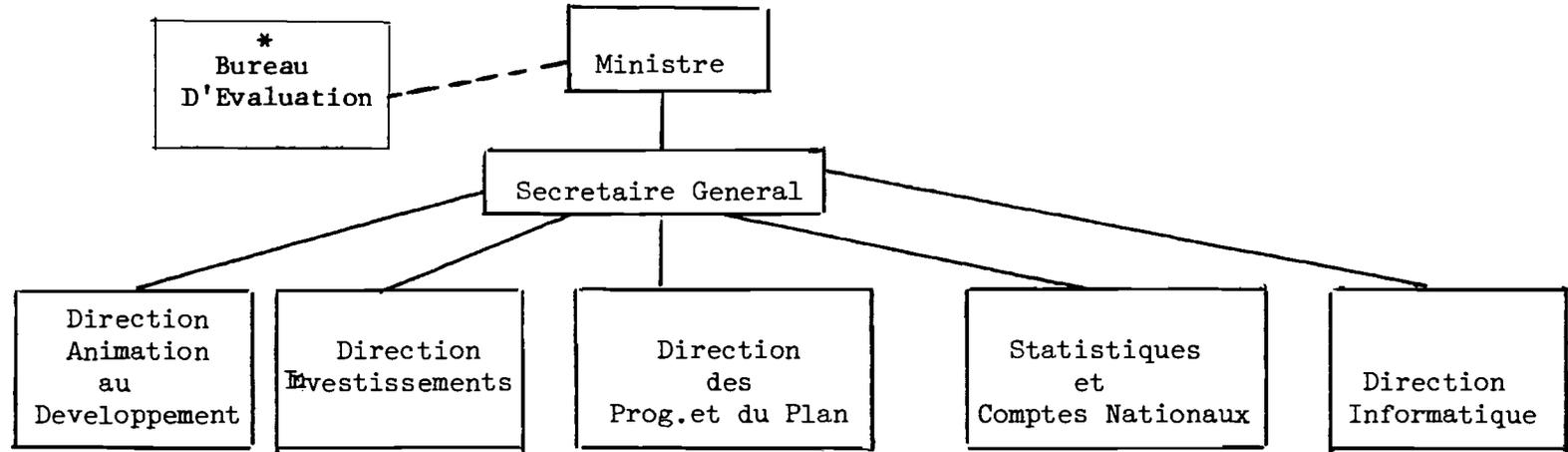
The current state of evaluation activities in Niger is very underdeveloped. Evaluation done by the Ministry of Plan is almost wholly financial in nature. It is more of a bookkeeping function than a real program evaluation effort. At the level of the technical ministries there is a wide variation in the quality of project evaluation. There are ministries which have created their own project evaluation units. The Ministry of Rural Development, for example, has established an evaluation cell in BEPRO (Bureau des Etudes de Programmation). This cell has already undertaken several systematic project evaluations and is engaged in the training of middle level cadres. The Evaluation unit is, however, almost completely staffed by expatriates. Thus, institutional development and the training of upper level Nigerien personnel for evaluation-specific functions has not yet taken place.

At the other extreme are ministries like the Ministry of Health which have no evaluation cell and no personnel charged specifically with the task of evaluation. The only project evaluations which take place in these ministries are those which are required by donors. In these ministries, it is still necessary to inculcate the notion that evaluation can be an important tool of management. Organizations like the FAO are attempting to ease this problem by offering courses in evaluation for project managers and middle level personnel.

Another major difficulty is the lack of communication regarding evaluation between the Ministry of Plan and the technical ministries. At present even those ministries that have evaluation cells and/or conduct project evaluations rarely if ever supply reports on these evaluations to the Ministry of Plan. Thus, even where some information on projects exists, it is rarely built into the larger planning and program evaluation process. The establishment of an information exchange must be a high priority item in developing a program evaluation capability in the Ministry of Plan.

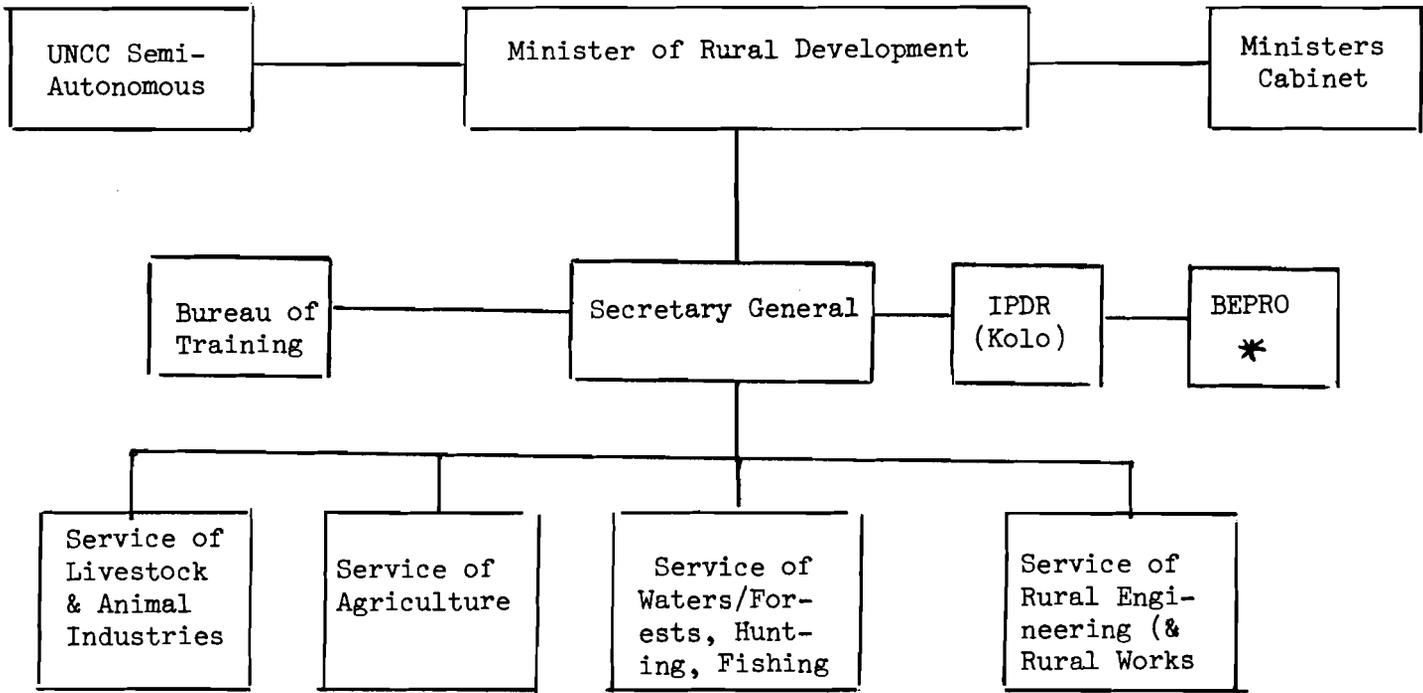
Organizational diagrams of the Ministries of Plan, Rural Development and Health provided below offer some insight into the evaluation function as it now exists in these ministries.

MINISTRY OF PLAN



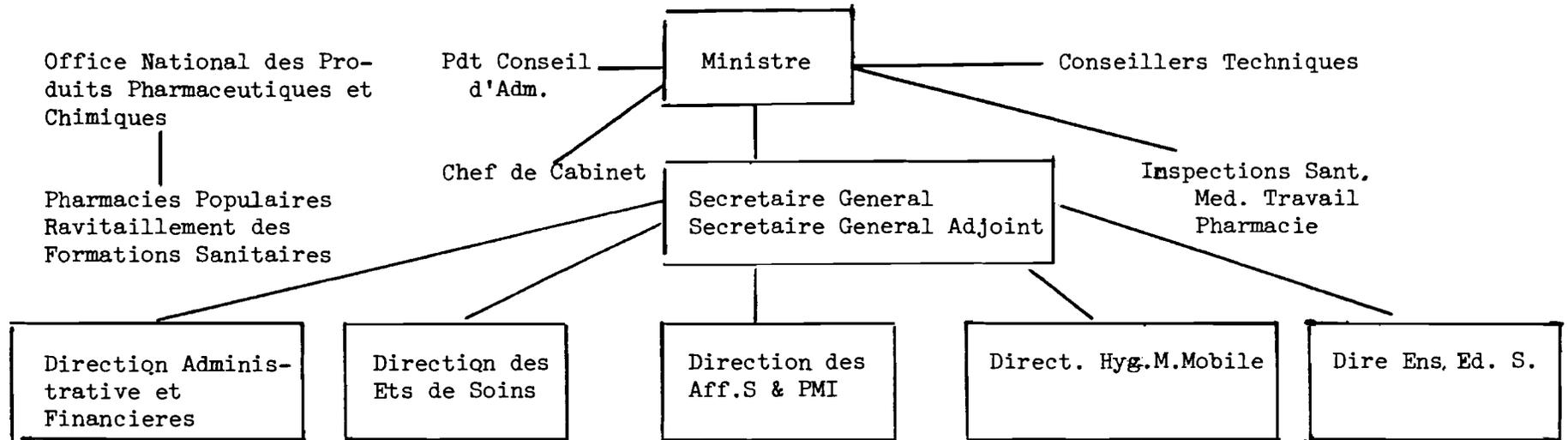
\* Planned evaluation unit

Ministry of Rural Development



\* Existing Ministry Evaluation Cell

MINISTRY OF PUBLIC HEALTH \*



\* no existing evaluation cell in this ministry

B. The Meaning of Evaluation :

Evaluations are undertaken for management and administrative purposes, for planning and policy development, and to meet economic requirements. Evaluations are components of the project/program cycle. They are important tools facilitating the decision-making process. Management planners, administrators, and program staff are continually confronted by choices about the scope and components of programs and the population to be served. This is also the problem faced by the project manager.

A project is the means by which a developing country achieves its development goals. The objectives of a project, when achieved, serve the larger objectives of a program designed to achieve the national goals. Therefore, a program, as well as a project, must be planned, appraised and implemented. A defect in any of the phases of a project can make the project unsuccessful and ultimately have a negative impact on the entire program. Thus, decision makers have to be interested in all aspects of the project/program cycle, taking into consideration the economic, political, social and administrative conditions under which the project/program must take place.

Broadly, evaluation means the systematic gathering of data and information on the conduct and outcome of intervention activities, the analysis of this data, and the use of the analyses.

The term "evaluation" as used in this paper covers the totality of that range of efforts undertaken toward the successful achievement of the goal and purpose of a project/program. Basic approaches should be employed to gather valid and reliable evidence in order to do systematic evaluations during the entire life of a project/program.

Evaluations, therefore, will be made of project/programs to determine whether they are in conformity with the ultimate goals, whether the designs are sound, the assumptions valid, and the budget realistic. (Rossi, Freeman and Wright, 1979). This will occur at the pre-authorization stage. During the implementation of the project/program, it will be determined whether the activities are on target, the project/program milestones' objectives are being met, and bottlenecks are being identified. The results of these evaluations will permit the articulation of conclusions and recommendations for modifications of designs/schedules. End of project/program evaluations will determine whether the objectives were actually met, whether the project/program had its intended effects and impacts, and how the total costs compare with the benefits. These evaluations will also make recommendations for follow-up activities.

C. Project Description:

This project will direct its efforts toward the building of an institutional capability in the GON Ministry of Plan to conduct systematic program and sectoral evaluations and to see that these are then input into the planning process. The institutional base for this effort will be the proposed Bureau of Evaluation (See Appendix A), an organization which it is hoped will have a status at least equal to that of the existing five directorates in the Ministry of Plan. In that manner its weight and credibility will be such that it will be able to conduct effective program evaluations.

The Bureau should be composed initially of a Nigerien director, at least two other upper level Nigerien staff members and support personnel (secretaries). Ideally each staff member should be drawn from a different directorate so as to maximize the linkages within Plan and to insure that diverse perspectives and skills are brought to the new unit. The Nigerien staff, after in-service training, including practical experience, will be able to conduct program and sectoral evaluations vital to the proper functioning of the Plan. Within the Bureau, a documentation center and data bank will be established. This will provide the basis for communications and information exchange between the Ministry of Plan and the technical ministries.

The documentation center will serve as a repository for studies and evaluations which will be catalogued in the mini-computers provided under the Project. It is anticipated that documentation information will be programmed in such a way that key words such as "health - measles" or "peanuts - pest control" might provide the researcher with a complete list of publications dealing with the subject as it pertains to Niger. This would, of course, only be a cataloguing and retrieval system.

Some people with whom the design team spoke expressed concern about the value of the documentation center and data bank to people who might wish to gain access to sensitive financial, statistical or planning information about Niger. No such information would need be catalogued -- or, if catalogued, -- would need necessarily be accessible to researchers. Mini-computers provided under the Project have the capability with appropriate software, to carry out complex data analysis, and Nigerien evaluators will be trained to use the computers for such programs. It will be necessary that relevant data available from the reports stored in the documentation center be programmed into the computers for this purpose. Control over data which might be sensitive can, however, be established both through initial programming and through controlled access to removable disks.

Since the Bureau will be charged with conducting sectoral and program evaluations at both the national and regional levels, the Bureau staff must have control over the utilization of the evaluation project vehicles. The staff will be expected to be able and willing to conduct appropriate evaluation research activities not just in their offices, but in the field as well. When the Bureau is charged with conducting a particular evaluation it must be allowed to design and implement the evaluation in a systematic fashion consistent with both the needs of Niger and the resources available to the Bureau.

Finally, ENA (l'Ecole Nationale d'Administration) will receive institutional support for the development of courses in evaluation and for the training of a faculty member in this field. Faculty and students at l'ENA may also participate in workshops organized by the project team. The director of ENA may request assistance to meet the special training needs of the institution. Over the long term, this will insure that cadres who pass through ENA will have some knowledge of the basic concepts and value of evaluation as a management tool.

1. Description of Training Component

a. Long-Term Training - Nigeriens (in the U.S.)

(1) Two Nigeriens drawn from the staff of the Ministry of Plan will be sent to the U.S. for Masters in Public Administration (M.P.A.) degrees with specialization in public management and program evaluation. Degree programs should be selected from among those universities offering a track which:

- 1) emphasizes development administration;
- 2) requires coursework in research design and data analysis; and
- 3) includes an internship as part of the degree requirements.

If possible, the internship should be organized so that the trainee can return to Niger to work for 3 months in the Evaluation Bureau as part of the degree requirements. Since it normally takes two academic years to complete an MPA degree, the student could be brought back to Niger between the first and second academic years. (Though experience has shown that some Nigerien finish Masters programs in two years, most require three years. If the programs extend for three years, the students will be brought back to Niger between the second and third years rather than between the first and second).

During this period, the student will receive orientation and training by the evaluation unit and participate in project activities for 4-6 weeks. This may be included as part of the internship period if adequate arrangements can be made with the participating institution. The additional

costs (round trip airfare) are justified as a means of providing practical and relevant experience. It is also useful in building ties between the trainees and the Bureau of Evaluation which will facilitate their integration into the Bureau upon completion of the degree program.

(2) One Nigerien drawn from the staff of the Ecole National d'Administration (ENA) and designated by the Director will be sent to the U.S. for an M.P.A. degree with specialization in program evaluation. The selection of the degree program should be based on the criteria suggested above. This individual will serve as a trainer in ENA and be charged with designing and teaching courses on evaluation as part of ENA's regular training programs.

b. Long-Term Training - Nigeriens (in Third Countries)

(1) Archivist - One Nigerien will be trained as an archivist to help develop, maintain and update the documentation center. Suitable training can be obtained at institutions in Dakar or Abidjan. This training will probably last from one to two years.

(2) Other - One or two positions for long-term third-country training will be left open pending an analysis of the specific needs of the Evaluation Bureau. Such training might be provided in statistics or program management.

c. Short-term training (Nigeriens) - In addition to the long term training noted above, short-term training sessions, seminars and workshops will be held to develop evaluation capacity. Given the lack of existing trained personnel within the Ministry of Plan, it is neither advisable nor likely for more than two persons to be released for full time out-of-country training for any extended period.

The achievement of a greater capacity for evaluation of programs/projects requires that the performance and skills of the working groups of the evaluation cell, Bureau d'Evaluation, be upgraded as they work on the job in their organization. When they have acquired experience in evaluation methodologies and procedures, the members of the working group of the Evaluation Bureau will be able to offer technical assistance to the evaluation cells of technical ministries.

The training should therefore be integrated with practical assignments and on-the-job performance should be evaluated. Problems and assignments should be used as the foundation for training in the needed basic skills (research methodology, data gathering and analysis, systems designs, management systems). This should be followed by practical application and combined with consultation involving the staff of the Bureau and the technical advisers. This emphasis upon organizational

and individual readiness and adaptation and upon performance rather than potential performance is characteristic of this "learning by doing" approach.

Short-term training will be supplemented by short courses provided by the World Bank Economic Development Institute (EDI). Short-term training will be provided for the Nigerien Secretarial staff as needed.

d. Initial Training of the Staff of Bureau National d'Evaluation by the Technical Team

(1) Basic skills

evaluation methodology  
research design  
field methods  
data analysis  
systems design  
management concepts  
utilization of evaluation as a tool of management

(2) Practical Training

This constitutes the second part of the initial training and comprises a complete applied exercise in the evaluation of an existing program. According to the program selected, a technical specialist in the substantive area (e.g. health, productivity programs, etc.) may be called in. It would be highly desirable if a counterpart of the technical specialist from the appropriate ministry also participated in this exercise. Evaluators and archivists will be trained in basic mini-computer programming and utilization.

(3) Archive and Data Bank

This training will consist of work in data gathering (reports, documents, statistics, questionnaires) as well as cataloguing.

(a) This work could be done by mid-level cadres, if available, or by Nigerien students of the University of Niamey under the supervision of a trained Archivist.

(b) A catalogue of documents should be established as a preliminary step to installing an evaluation documentation center.

(4) Training of Trainers

A training of trainers component should be included so that the members of the evaluation Bureau may eventually provide assistance to other evaluators within the Ministry of Plan and the Technical Ministries. This component will include training needs analyses at the regional level (departments).

## 2. Description of Long-term U.S. Technical Assistance Component

Long-term technical assistance under the Project will be provided under direct contracts with the Government of the Republic of Niger. The two members of the team should together combine the various qualifications and experience suggested in the job descriptions which follow:

### a. Chief of Party - Specialist in Development Administration

(1) Language competence - The minimum requirement is an FSI rating of 3 in oral French and 3 in written French, but additional emphasis should be placed on communication skills (i.e. operational French in the African context).

(2) Formal training - a minimum of an M.A. or M.P.A. degree (Ph.D preferred) in a field related to organizational development, public management, development administration, program evaluation, management training. Some training in research design, data analysis, and quantitative methods is also required.

(3) Experience - at least two years work experience in Francophone Africa, plus experience in the design and implementation of training.

(4) Scope of Work - to help organize and coordinate a new Bureau of evaluation in the Ministry of Plan. In conjunction with the Nigerien Director of the Bureau, this person will design and participate in the training of the Nigerien staff of the Bureau, help establish links with technical ministries, assist in the establishment of a data bank and document archive (stressing evaluation), participate in the design and execution of program and sector evaluations, and coordinate the hiring and activities of short-term trainers and consultants for the project.

### b. Specialist in Social Impact Analysis

(1) Language competence - The minimum requirement is an FSI rating of 3 in French, but additional emphasis should be placed on communication skills (i.e. operational French in the African context).

(2) Formal training - a minimum of an M.A. degree (Ph.D preferred) in one of the social sciences. Some training in evaluation methodology, research design, data analysis and data processing and survey research required. Some training in anthropology and/or rural sociology would be a plus.

(3) Experience - a minimum of two years work experience in Francophone Africa, plus experience in conducting survey research in an LDC, and in program evaluation.

(4) Scope of Work - To help organize and provide technical support for the new Bureau of Evaluation in the Ministry of Plan. In conjunction with the Nigerien Director and other technical assistants, this person will design and participate in training of the Nigerien staff of the Bureau (especially in the area of social impact analysis), participate in the design and execution of program and sector evaluation and act as a technical liaison with the technical ministries' evaluation cells.

### 3. Description of Short-Term U.S. Technical Assistance Component

#### a. Archivist - Information Systems Specialist - 3 months

- (1) Language competence - excellent spoken and written French
- (2) Formal training - a minimum of an M.A. in library science or information systems, knowledge of computer usage.
- (3) Experience - some experience in setting up a documentation center and data bank, preferably in an LDC, some experience in training.
- (4) Scope of Work - to help organize a documentation archives and data bank for the Bureau of Evaluation of the Ministry of Plan and to conduct applied training courses for Nigerien archivists.

b. Trainers - Consultants: as needed, French-speaking specialists in program evaluation and policy analysis with particular sectoral emphasis (e.g. health) will be brought in for short periods of time to conduct training and assist in the design and evaluation of various programs.

### 4. Logical Framework

a. Goal - This project represents an effort to upgrade the quality of planning in Niger by entering the results of systematic program evaluation into the ongoing planning process. The goal is to increase the efficiency and effectiveness of the Republic of Niger's development program management and administration.

b. Purpose - In order to improve the quality of program evaluation, the project will establish a functioning program evaluation support unit in the Ministry of Plan and build effective linkages and information exchanges with the technical ministries.

#### c. Outputs:

To accomplish the purpose the following outputs will be achieved by the end of the project:

- (1) A Bureau of Evaluation will be established in the Ministry of Plan;

- (2) A pool of evaluation technicians will be trained for work in the Bureau of Evaluation;
- (3) A system of information exchange and support will be established which links the Ministry of Plan to the technical ministries; and
- (4) A capability to conduct systematic program evaluations will be developed.

d. Inputs - The GON will establish a Bureau of Evaluation in the Ministry of Plan and provide the personnel, including full-time secretaries, to staff it. They will be assisted by two long-term U.S. specialists and 24 man-months of short-term consultants.

The specific targets, means of verification, and assumptions are shown in the Logical Framework Matrix (See Annex J).

### III. Project Analyses

#### A. Economic Analysis:

1. Costs and Benefits. Since no income will be generated by the Evaluation Bureau or the data management system established under the Evaluation Assistance Project, it is difficult to quantify benefits to be derived from project outputs. The costs of the effort to integrate an evaluation component into the development planning process are known, however, and these can be compared with potential program cost savings to determine the relative economic viability of the effort.

The evaluation program is but a single element in a large and complex series of management actions which contribute to the development decision-making process in Niger. The total investment in data collection, collation, analysis and review is, therefore, much higher than the funding proposed for this activity. Furthermore, this investment is small by comparison with the total capital stock, capital, natural and human resources which the Government of the Republic of Niger is charged with managing. In view of the significant role of the Ministry of Plan in this important management function, and in view of the limited resources available to the Ministry for reviewing programs and policies to insure the appropriateness of the RN's decisions in this regard, a project effort of this size is well justified.

Programs described in the current Five Year Plan are projected to cost \$3.6 billion, or \$720 million per annum, over the life of the Plan. More efficient uses of capital, as well as human and natural resources

which will be identified by a process of recurring evaluation and modification of Plan programs can save the RN a significant percentage of the budget dedicated to achievement of Plan goals. The leverage effect of the Project is clearly demonstrated as follows:

--If the new evaluation system were to improve program efficiency by even 0.3% during any one year of the current Five Year Plan, the total AID investment in the Evaluation Assistance Project would be amortized. It is possible that a single decision resulting from evaluations in such important areas as agricultural pricing or fertilizer imports could totally justify the project in terms of capital savings.

--The 1983 AID Country Development Strategy Statement for Niger projects a total AID contribution of \$179.3 million to the Nigerien development program during the years 1983-87. Should the Evaluation Assistance Project result in an increased efficiency rate of just one percent in AID-financed projects over the next five years (0.2% per annum), the \$2 million investment in the project would be amortized over that period of time. Total donor assistance to Niger in 1979 reached almost \$200 million and AID contributed only about six percent of that total. The potential effect of a systematic evaluation system on total donor investment even during a single year is, thus, quite evident.

## 2. Project Efficiency

The cost efficiency of the Evaluation Assistance Project design also makes it attractive. The costs of the Evaluation Assistance Project to AID are only a portion of the total investment in the Project, and Niger's approximate annual "in-kind" investment of \$166 thousand represents a significant recurrent cost. Since the Project draws upon existing personnel for manpower, however, the RN's annual "in-kind" investment is really only an administrative debit against the Project.

Though the value of work in which these personnel might otherwise have been involved cannot be totally discounted, the "value added" by training received under the Project must also be considered. More importantly, though, if the personnel were not used for evaluation, investment savings attributable to program improvements resulting from future evaluations would not occur. Finally, as mentioned above, there is already a huge investment in resource management in Niger. A large part of the Government itself is dedicated to this function. The uncatalogued data dispersed throughout the RN ministries, research institutions and foreign embassies in Niger represent an expensive and potentially useful resource which is currently underutilized. The information management system proposed under the Evaluation Assistance Project will do much to reduce duplication and increase the utilization of already available data, research and analysis in Niger. The worth of such an information tracking tool is substantial.

The poor will benefit indirectly from the Evaluation Assistance Project as a result of more effective targeting and implementation of development programs. The benefits may sometimes be difficult to trace directly to specific decisions, and indirect effects of evaluations may not be evident to a casual observer, but if the evaluation program is seriously implemented, results will be felt throughout the rural development program. An assessment of specific impact must await subsequent study and review of evaluations and policy decisions.

B. Technical Analysis:

1. Mini-Computers

The mini computers to be ordered for this project will be employed for three basic purposes: 1) archival information storage and retrieval; 2) data processing; and 3) training. What is envisaged are mini computers with monitors, a disk drive (for floppy diskettes), and a printer. One unit is anticipated for use in the documentation center-data archives. One unit and one backup will be housed in the offices of the National Evaluation Bureau, one unit will be used for ENA training, and two units will be reserved for distribution to cooperating ministries. The Apple II would be an especially useful unit because of the extensive software (including SPSS for data processing and a variety of programs for archival work) available with it. SPSS should provide all the necessary statistical routines required for data processing. Not only is it an easily comprehensible package but manuals in French have been prepared at Laval University in Canada. The archival requirements of the project include the ability to provide lists of relevant reports in response to keyword identification codes.

2. Nigerien Personnel

Of the utmost importance to this project is the existence of an adequate number of higher level (cadre superieur) personnel in the Ministry of Plan to staff the Evaluation Bureau. It is absolutely not the intention of this project to provide American technicians to fill formal positions in the Ministry and to perform Ministry functions on their own as would regular Ministry staff. This is a system which is all too pervasive in the GON and other LDCs. Once the donor technical personnel leave, the unit in which they served again suffers from all the weaknesses of a new organization. All possibilities of developing an institutional memory and appropriate on-the-job experience for newly trained cadres are lost.

U.S. technical personnel should at all times be working directly with GON counterparts. This effort must be geared to institution building, rather than to short-term coping with staffing problems. At this point in time it seems that the GON will be able to provide personnel in adequate numbers to staff the Evaluation Bureau. Whether there are sufficient cadres available for both staffing and long-term training in the

U.S. and third countries remains to be seen. The issue of counter-parts, or the lack thereof, has been an important factor in either reducing the effectiveness of, or completely undermining the impact of development efforts in many LDCs, and is an especially important problem in the Sahel. This project should not be undertaken unless and until the requisite number of Nigeriens, including secretaries, are named to the Evaluation Bureau.

The current lack of trained, experienced middle level cadres (cadre moyens) must also be dealt with. Those Nigeriens trained by the expatriate staff will themselves be trained as trainers of middle level cadres.

### 3. The Location of the Evaluation Bureau in the Ministry of Plan

In order to perform its functions effectively the Bureau of Evaluation must (1) be relatively autonomous (independent of the various directorates in the Ministry) so it can carry out independent evaluations and; (2) be placed high enough in the Ministry's organization that it will have sufficient credibility and weight to insure that feedback from the evaluation process will actually reach important decision makers. Currently the unit charged with evaluation is located in the Division for the Coordination of the Evaluation of Plans and Programs (Division de Coordination des travaux d'evaluation des Plans et des Programmes) under the Service of Studies and Economic Analysis (Le Service des Etudes et de l'Analyse Economique) of the Direction of Programs and Plan (La Direction des Programmes et du Plan). Thus, the evaluation unit is only a small part of one of four services, in one of the five directions in the Ministry. It is thus lacking in independence, credibility and weight.

It is being proposed here that the Bureau of Evaluation be given the status of a directorate. This is a view which is concurred in by staff members in the Ministry of Plan. The whole evaluation effort would be much stronger and more satisfactory if a new directorate level unit of evaluation were established.

Alternatively the Bureau of Evaluation could be attached directly to the Office of the Minister. Such a unit could then report to the Minister of Plan and be charged with specific evaluation activities in accord with priorities set by him. However, if the evaluation unit is kept in its present position the project would have less than optimal impact and the investment would probably not be justified.

#### C. Social Analysis:

A new organization, the Bureau of Evaluation (BE), will be established as the main program evaluation unit in the Ministry of Plan. Several important issues are raised by the effort to successfully build such an organization into an institutionalized position. First of all, the BE must not appear to be threatening to the other organizations with which it must interact, both within and outside the Ministry of Plan. It must

be explained to the technical ministries as a cooperative, coordinating unit rather than one which is seeking to co-opt their functions and critique their actions. This has been emphasized by the design team in discussions with technical ministry personnel. It needs to be re-emphasized by the implementation team and the mission management and support staff.

The BE will attempt to establish effective linkages with the technical ministries through its documents archives and data bank activities (information exchange), through joint training exercises, and by the provision of logistical and other support to Ministries which want to establish their own evaluation cells. The computer equipment (mini-computers) may also be used to tie cooperating ministries into the information exchange network. The BE will seek to build a solid institutional base by demonstrating its utility and value in the development process, rather than by attempting to assert its authority and impose its will.

Added to this institution-building effort is support for the National School of Administration (ENA) in terms of faculty training and curriculum development.

In the long run, the familiarity with modern evaluation techniques which will be engendered in the course of ENA training of administrative cadres may have an important impact. Thus, those sent to ENA for regular training will, as the result of some exposure to evaluation, be more sensitive to, and supportive of, the need for evaluation.

Other groups in Nigerien society will be affected indirectly by this project. Presumably well-designed and implemented program evaluations will allow for adjustments and improvements in development efforts in general and in-service delivery in particular. By improving the ability of the government to gauge the social impact of its programs, it will be more able to take account of the needs of the poor. Improved evaluation capabilities will, by producing better planning and management, indirectly contribute to the goal of the RN to create a "development society."

#### D. Environmental Analysis:

It is anticipated that the Project will have small but beneficial impacts on Niger's social environment. The primary impact envisioned is that Nigerien development planners will develop a more critical attitude about development programs and plans. Given improved analytical and methodological evaluation capabilities developed under this project, Nigerien planners will be able to better describe and quantify the social and environmental risks of various development programs being carried out or being considered for implementation in Niger. They should also be better able to explain to decision makers the relative risks and benefits to the environment of alternative development planning and

policy decisions. This alone should prove to be an important step toward increased environmental consciousness. Environmental sensitivities will develop from Nigerien officials' association with, and training under, technical assistance team members who will consider environmental factors in the course of any thorough evaluation. Nigerien evaluators will also become more conscious of environmental factors, however, through increased communications linkages which will be developed with GON offices responsible for environmental concerns (e.g., the Office of Water and Forests in the Ministry of Rural Development).

#### IV. Implementation Plan

##### A. Timing of Inputs:

###### a. Project Agreement Signed

The Ministry of Plan and AID sign an agreement by which a functioning program/sector evaluation unit will be established within the Ministry of Plan. This unit, the Bureau d'Evaluation (BE), will be located at the Direction-level or above.

###### b. Bureau Personnel

Three, possibly four, persons as well as a director for the Bureau will be selected by the Minister of Plan from the upper-level cadres of the ministry. They will be trained in program evaluation methods and their application. This Nigerien team should be ready to start its activities as soon as the U.S. Technical Team arrives on site.

###### c. U.S. Technical Team

Two long-term technical assistants will be recruited by AID, one to be Chief of Party (for the U.S. team) and counterpart of the Director of the Bureau d'Evaluation. Both members of the team will serve under contracts with the Government of the Republic of Niger.

###### d. Commodities

Office supplies for the BE (office furniture, typewriters, etc.) should be ordered immediately after signature of the ProAg so that the team may start work without delay upon arrival. Vehicles should also be ordered at the same time. With the exception of U.S.-manufactured vehicles, these commodities should be in country when the technical team arrives. A waiver request, which, if approved, will allow local purchase of two Code 935 country manufactured light passenger vehicles, appears as Annex D to this Project Paper and will be made a part of the project authorization documentation. Early purchase of these vehicles will permit efficient implementation of the Project during the period immediately following arrival of Project technicians.

e. U.S. Technical Team

The team should arrive within six months after signature of the ProAg. The following three months after the team's arrival will be a time of orientation, settling into new surroundings, establishing relationships with Nigeriens and becoming familiar with the Ministry's organization.

f. Mini-Computers

Mini-computers will be ordered within two months after U.S. team arrival.

g. Work Plan

U.S. team and Nigerien BE staff will cooperate in the development of a Work Plan: 3 months maximum should be devoted to this activity.

h. Training

Training in basic skills for evaluation starts. Additional short-term consultants may be called upon if needed to supplement training by the U.S. team in special components. This basic training may extend over the 7 months set aside for this purpose without impairing the overall progress of the project.

i. Evaluation Exercise

A program from a specific sector should be selected to be evaluated by the Bureau d'Evaluation as a practical exercise to apply the basic skills learned during the training session. The complete evaluation exercise may take up to one year. Extensive field trips will be necessary.

j. Project Evaluation

First Evaluation of Project Progress - There will be a review of the Work Plan at the 16-month mark.

k. In-Service Training

Short-term training interventions may be necessary and consultant/specialists will be called in for specific training when needed, such need to be determined by the U.S. team and the BE staff. These short-term training sessions will be of an ongoing nature during the life of the project.

l. Long-Term Training in U.S.

Three Nigeriens (two Nigerien high level cadres from the Ministry of Plan and one Nigerien from the Ecole Nationale d'Administration) will be selected through normal civil service testing procedures and sent

to a U.S. university to be trained in the field of evaluation. They should be enrolled for the fall term of 1982, return to Niger during the Summer recess of 1983 and complete study by the end of the Spring term of 1984 (including completion of an interaship).

m. Project Evaluation

Second evaluation of project progress. Development of a PID for possible project follow-up. 27th-month mark.

n. Documentation Center

A documentation center is to be established. A Peace Corps volunteer may be asked to help in this task while a Nigerien will be trained as a Librarian/Archivist in a Third Country Institution (Abidjan and Dakar are possibilities).

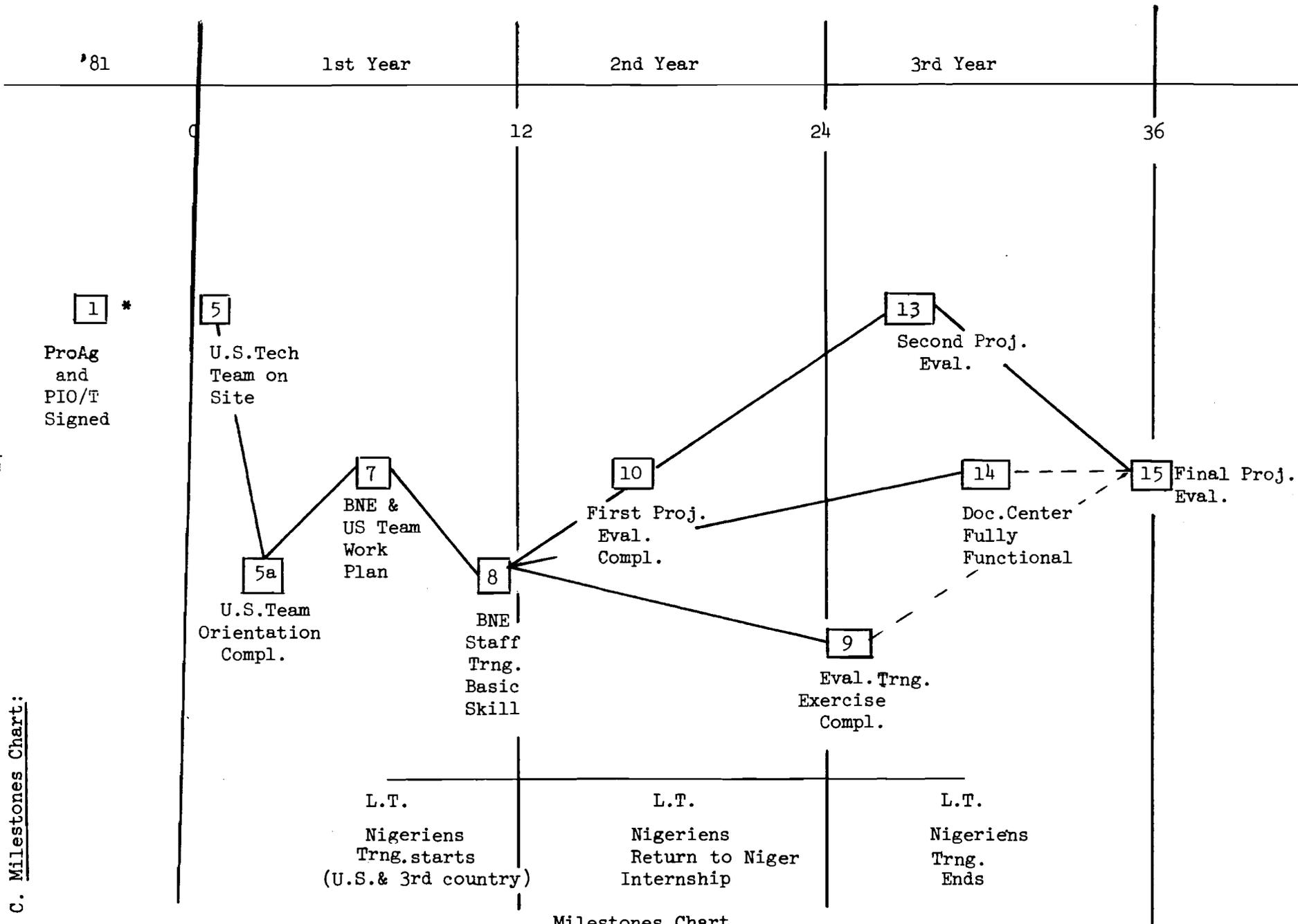
o. Project Evaluation

End of Project - 36 month mark.

B. Table of Critical Dates:

<u>Expected Dates</u>	<u>Performance Indicators</u>	<u>Critical Dates</u>
June 5, 1981	PP approved by AID/Niger	July 1981
September 1981	ProAg signed	September 30, 1981
October 1981	U.S. Tech. Team on Site	January 1, 1982
January 1, 1982	Orientation of U.S. team completed	April 1, 1982
April 1, 1982	Work Plan completed	June 1, 1982
September 1982	Begin Documentation Center	March 1982
October 1, 1982	Training of BE (Basic Skills) completed	June 31, 1983
February 1, 1982	First Evaluation Completed	September 15, 1983
October 1, 1983	Complete Evaluation Exercise by BE	May 31, 1984
January 1, 1984	Second Evaluation Completed	September 15, 1984
April 1, 1984	Document Center fully functional	March 30, 1985
September 1984	Final Evaluation	December 1985

C. Milestones Chart:



Milestones Chart

\* Numbers correspond to those of the section: Implementation Plan



#### E. Evaluation Plan:

The evaluation of this project is planned to take place in three stages:

- 1) approximately 16 months after the arrival of the long-term technical team;
- 2) approximately 27 months after the arrival of the technical team;
- 3) at the termination of the project (36 months).

The first stage of the evaluation (after 16 months) should be conducted jointly by representatives of the AID Mission in Niger (AID/Washington should participate) and representatives of the GON, Ministry of Plan. The basic aim of this evaluation will be to monitor progress, suggest modifications in inputs and help modify or redesign the work plan.

The second stage of the evaluation (after 27 months) should once again bring together representatives of AID/Washington (particularly the Office of Development Administration of the new Bureau for Science and Technology), the Mission (particularly the program office) and the GON. This evaluation will continue to monitor progress but will also conduct impact analysis. Based on these findings and perceived future needs and interests, the evaluation team may write a PID for a second stage or follow-up project, or suggest the guidelines for such a PID which may then be produced by a design team.

The third stage of the evaluation (after 36 months) will examine the overall project impact and effectiveness. This may take the form of a PES (Project Evaluation Summary). In addition, if a second stage is planned, the evaluation team will be expected to lay the groundwork for the transition to Stage II.

#### V. Cost Estimate and Financial Plan

##### A. Cost Projections :

The budget projections for the Evaluation Assistance Project reflect the estimated cost of inputs required to achieve the six outputs described in the project design summary. It is anticipated that the entire amount of funding required for the Project can be authorized and obligated during FY 1981 and FY 1982. This schedule of obligations is reflected in the FY 1983 Annual Budget Submission which has just been submitted to AID/Washington. AID Project costs total \$2,000,000. Of this amount, it is expected that \$600,000 will be obligated in late FY 1981. This will permit initiation of contract actions with long-term technical assistance personnel and ordering of office equipment as well as local-purchase and U.S.-manufactured vehicles. An early FY 1982 obligation of the remaining \$1,400,000 will allow timely availability of additional funding necessary to implement the Project. The Republic of Niger will contribute approximately \$539,000 to the Project over the three years of

active implementation. This will take the form of "in-kind" contributions of permanent staff salaries, office and documentation center space and certain routine operational costs (utilities, office maintenance, custodial services, etc.). The total inflation factor for the Project, both for U.S. and local costs, has been projected at ten percent compounded monthly. These projected costs are reflected in the Project budget tables below.

B. Recurrent Cost Analysis:

In order to insure the continued viability of the Evaluation Bureau and program evaluation activities following the end of USAID support to the Project, it will be necessary for the RN to assume a number of costs which are covered by grant funding during the three year life of this project. Essentially, these new recurrent costs will include maintenance and replacement of mini-computers and computer programs, vehicle operating costs, and, perhaps three or four years after completion of the Project, replacement of Project vehicles which will have been replaced by the Project during the third year of the Project. Since personnel provided to the Evaluation Program by the RN are to be drawn from personnel already employed by the government, personnel costs do not represent any added recurrent costs. Based upon current projections, the new recurrent costs to be assumed by the RN over the three years following the end of the Project would be approximately \$138 - 175,000, or \$45 - 60,000 per annum. Thus, the recurring cost implications of the Project are minimal and would seem to be manageable.

Estimated Annual Contribution - RN and AID

(\$000 or Equivalent)

	<u>1982</u>		<u>1983</u>		<u>1984</u>		<u>Totals</u>	
	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>
<b>1. Personnel</b>								
AID Public Administration								
Specialist	125	-	125	-	125	-	375	-
AID Social Scientist	125	-	125	-	125	-	375	-
Short-term Technical Assistance	60	-	120	-	60	-	240	-
RN Director of Evaluation Unit	-	5	-	5	-	5	-	15
RN Deputy Director	-	4	-	4	-	4	-	12
RN Unit Evaluation Staff	-	12	-	12	-	12	-	36
Clerical	-	8	-	8	-	8	-	24
Custodial	-	5	-	5	-	5	-	15
Sub-total Personnel	310	34	370	34	310	34	990	102
<b>2. Training*</b>								
U.S. long-term (6 person years)	75	12	75	12	-	-	150	24
Third country, long-term (4 person years)	-	-	33	16	-	-	33	16
Third country, short-term (20 person months)	27	4	27	4	-	-	54	8
Short-term, in-country	-	-	25	4	25	4	50	8
Sub-total Training	102	16	160	36	25	4	287	56

	<u>AID</u>	<u>1982</u> <u>RN</u>	<u>AID</u>	<u>1983</u> <u>RN</u>	<u>AID</u>	<u>1984</u> <u>RN</u>	<u>AID</u>	<u>Totals</u> <u>RN</u>
<b>3. <u>Commodities</u></b>								
Vehicles - 6 all-terrain type passenger vehicles	75	-	-	-	75	-	150	-
4 light passenger vehicles	20	-	-	-	20	-	40	-
Office equipment	20	-	-	-	20	-	40	-
Mini-computers (with floppy diskettes and printers)	18	-	-	-	-	-	18	-
-- for which the RN will provide aid-conditioned office space (approx. 15m <sup>2</sup> for each computer- 3 years)**	-	12	-	12	-	12	-	36
Sub-total Commodities	133	-	-	12	115	-	248	36
		12		12		12		
<b>4. <u>Other Costs</u></b>								
Vehicle Operation and maintenance	25	-	25	-	30	-	80	-
Publications and training materials	12	-	12	-	-	-	24	-
Translator, Bilingual Secretary, local hire	6	-	7	-	8	-	21	-
Office space for the Evaluation Unit (approximately 200m <sup>2</sup> for 3 years)	-	27	-	27	-	27	-	81
Documentation Center (50m <sup>2</sup> x 3 years)	-	6	-	6	-	6	-	18
Utilities	-	24	-	24	-	24	-	72
Per diem and lodging for evaluation staff during field work	-	6	-	6	-	6	-	18
Reproduction and Acquisition Costs at Documentation Center	-	20	-	20	-	20	-	60
Sub-total Other Costs	43	83	44	83	38	83	125	249

	<u>1982</u>		<u>1983</u>		<u>1984</u>		<u>Totals</u>	
	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>	<u>AID</u>	<u>RN</u>
Totals	588	145	574	165	488	133	1650	443
5. Contingencies (10%)	59	15	57	17	49	13	165	45
	647	160	631	182	537	146	1815	488
Inflation (10% compounded)			66	19	118	32	184	51
Grand Totals	647	160	697	201	655	178	1999	539

\* RN will contribute salaries of participants

\*\* Construction costs average \$1000/m<sup>2</sup>. Space costs were computed with 20-year amortization at 12% interest.

Projected Annual AID Project Expenditures by Currency  
(\$000 or equivalent)

	<u>1982</u>	<u>1983</u>	<u>1984</u>	<u>Total</u>	<u>\$</u>	<u>CFA</u>
<u>1. Technical Assistance</u>						
two long-term TA specialists (6 person years x \$125000/yr)	250	250	250	750	750	-
short-term TA in special technical fields (24 person months x \$10000/month)	60	120	60	240	240	-
Sub total	310	370	310	990	990	-
<u>2. Training</u>						
-U.S. long-term (6 person years x 25000)	75	75	-	150	150	-
Third country-long term (4 person years x 8400/yr)	-	33	-	33	-	33
Short-term (20 person months x 2700/month)	27	27	-	54	-	54
Short-term, in-country	-	25	25	50	-	50
Sub total	102	160	25	287	150	137
<u>3. Commodities</u>						
- <u>vehicles</u> - 6 all terrain, type passenger vehicles	75	-	75	150	150	-
- 4 light passenger vehicles	20	-	20	40	15	25
Office equipment	20	-	20	40	-	40
Mini-computers (with floppy diskettes and printers) 6 x \$3000	18	-	-	18	18	-
Sub total	133	-	115	248	183	65

	<u>1982</u>	<u>1983</u>	<u>1984</u>	<u>Total</u>	<u>\$</u>	<u>CFA</u>
4. <u>Other Costs</u>						
Vehicle operation and maintenance	25	25	30	80	-	80
Publications and training materials	12	12	-	24	-	24
Translator-bilingual secretary (local hire)	6	7	8	21	-	21
Sub total	43	44	38	125	-	125
Totals	588	574	488	1650	1323	327
5. <u>Contingencies</u> (10%)	59	57	49	165	132	33
Totals	647	631	537	1815	1455	360
Inflation (10%) (needs to be compounded)	-	66	118	184	147	37
Grand Totals	647	697	655	1999	1602	397

Projected Rate of Obligation (\$000)

	<u>1981</u>	<u>1982</u>	<u>Total</u>
<b>1. <u>Technical Assistance</u></b>			
two long-term TA specialists (6 person years x 125,000/yr)	250	500	750
short-term TA in special technical fields (24 person months x \$10,000/month)	13	227	240
Sub total	263	727	990
<b>2. <u>Training</u></b>			
-U.S. long-term (6 person years x 25,000)	75	75	150
Third country-long term (4 person years x 8400/yr)	-	33	33
Short-term (20 person months x 2700/month)	27	27	54
Short-term, in-country	-	50	50
Sub total	102	185	287
<b>3. <u>Commodities</u></b>			
- <u>vehicles</u> - 6 all terrain, type passenger vehicles	75	75	150
- 4 light passenger vehicles	20	20	40
Office equipment	20	20	40
Mini-computers (with floppy diskettes and printers) 6 x \$3000	18	-	18
Sub total	133	115	248

	<u>1981</u>	<u>1982</u>	<u>Total</u>
4. <u>Other Costs</u>			
Vehicle operations and maintenance	25	55	80
Publications and training materials	12	12	24
Translator-bilingual secretary (local hire)	6	15	21
Sub total	43	82	125
Totals	541	1062	1647
5. <u>Contingencies (10%)</u>	59	106	165
Totals	600	1168	1815
Inflation (10%) (needs to be compounded)	-	184	184
Grand Totals	600	1399	1999

## VI. Conditions and Covenants

### A. Conditions Precedent:

The Mission, in consultation with the REDSO Legal Advisor, recommends the following conditions precedent to any disbursement under the Project Agreement:

Prior to any disbursement under the grant or the issuance of any commitment documents pursuant to which disbursements will be made, the Government of Niger shall furnish to AID in form and substance satisfactory to AID, evidence that a Nigerien Project Director has been assigned and delegated all necessary authorities required to implement the Project.

### B. Covenants:

The Mission and the REDSO Legal Advisor also recommend the following covenants to the Project Agreement:

1. The Government of Niger covenants to establish the Bureau of Evaluation at a level equal to or above that of a Directorate directly responsible to the Minister of Plan or the Secretary-General.
2. The Government of Niger covenants to provide to the Project within 120 days following execution of the Project Agreement the full-time personnel, including at least three cadre superieurs and a secretary, necessary to the operations of an effective and permanent Evaluation unit -- and to assign these persons for a period of not less than three years.
3. The Government of Niger covenants to make available, in addition to personnel described in Covenant number 2 above, three qualified participant trainees for long-term training programs in the United States.
4. The Government of Niger covenants to place all persons who have received participant training under the Project into full-time positions which involve evaluation duties and are appropriate for the level of training which the participant has received.

BUREAU NATIONAL D'ÉVALUATION

Grands principes devant régir ce bureau d'évaluation et d'études économiques

- Avoir une certaine autonomie fonctionnelle et institutionnelle à l'égard de l'administration tout en étant coiffée par cette dernière.
- Disposer d'un personnel pluridisciplinaire
  - macro-économistes ou généralistes
  - financiers
  - agro-économistes
  - statisticiens analystes
- Cette cellule doit pouvoir faire des évaluations ex-ante et ex-post, donc pouvoir proposer plusieurs scénarios pour les décideurs et avoir une méthode normalisée d'évaluation (méthode ONUDI et MIRLESS...)
- Elle ne doit en aucun cas être en conflit de compétence avec les autres ministères, mais assurer un flux utile et convergent d'informations vers elles.
- Elle prévoit être un bureau autonome directement rattaché au Ministère mais travaillant en collaboration avec toutes les structures de l'administration.

2. Réflexion au sujet de l'organisation et de la conception d'une cellule d'étude et d'évaluation.

2.1. Compétence et structure professionnelle demandée

Etant donnée que les études et l'évaluation des programmes et du plan comprennent tous les secteurs économiques et sociaux, le personnel de la cellule devait se composer :

- des économistes - généralistes
- des spécialistes sectoriels.

En plus de l'effectif du personnel en nombre encore à définir, il conviendrait que la discipline d'économie générale, soit représentée par un nombre permanent tandis que les spécialistes sectoriels pourraient être recensés au fur et à mesure des besoins.

Cette structure de personnel demandée nécessite une certaine souplesse et une flexibilité pouvant répondre rapidement aux exigences d'une continuité des travaux.

L'organisation ou plutôt la mobilisation des moyens financiers nécessaires pourrait se faire sous forme :

- d'un bureau d'études qui sera chargé du recrutement du personnel en collaboration avec le Ministère du Plan,
- de la création d'un fonds d'experts et d'études en coopération avec un (ou deux) bailleurs de fonds.

Dans ce dernier cas le recrutement du personnel se fera :

- soit pour l'agence (ou l'office) de coopération technique du pays d'où provient le financement, en accord avec le Ministère du Plan
- soit directement par le Ministère du Plan sur la base des appels d'offres et la conclusion des conventions avec des bureaux d'études.

La formule à choisir devait être étudiée d'une façon approfondie.

La conception des travaux devait s'orienter <sup>vers</sup> aux grandes options, politiques pour le développement économique et sociale du Niger.

Le but des travaux d'études et d'évaluation sera :

- de connaître mieux l'importance, les éléments constitutifs et les forces motrices des grandes évolutions économiques et sociales du Niger de recenser et d'identifier les contraintes et les blocages de toutes sortes dont souffre le développement surtout dans les secteurs clés. Cette identification devait dépasser au stade d'élaboration de proposition pour la solution des problèmes dans la réalisation des programmes de développement; ce qui suppose que la cellule soit en mesure de faire des évaluations ex-ante et ex-post, et pouvoir ainsi faire des propositions de plusieurs scénarios pour les décideurs.

La méthode d'évaluation doit être normalisée sur les méthodes internationale mais adaptée aux conditions locales;

- de constituer les éléments de base pour les principes directeurs des grandes options et pour l'orientation la conception et la mise en application effective de la politique de développement devant être réalisée à moyen et à long terme.

Les travaux ~~seront~~ <sup>porteront</sup> à l'élaboration d'une large base d'informations et d'éléments de réflexions pouvant servir à la constitution des dossiers pour la préparation des décisions des instances politiques du Niger au sujet des grandes options, des objectifs et de la stratégie.

### 3. L'affectation organisationnelle et hiérarchique

L'affectation d'une cellule d'études et d'évaluations autonomes devait être étudiée aussi bien sous l'aspect d'organisation (ou en d'autres termes sous l'aspect de l'orientation par la direction et par le service chargé des études au sein du Ministère du Plan) que sous l'aspect hiérarchique (en d'autres termes sous l'aspect du niveau hiérarchique où les résultats des travaux devaient être présentés pour analyse et exploitation.

4. Cette cellule ne doit en aucun cas être en conflit de compétence avec les autres ministères disposant de cellule individuelle d'évaluation. Elle doit par contre susciter un flux permanent et régulier d'informations vers elle, les centraliser pour exploitation utile.

5. Son autonomie devrait lui conférer une position hiérarchique de conseiller au cabinet du Ministre sans pour cela que ses compétences soient en interférence avec les autres services de la Direction du Plan.

Objet : Création d'une cellule d'études  
et d'évaluation des programmes  
et de projets.

- organisation/conception
- affectation hiérarchique
- orientation / contrôle
- programme de travail

Remarques :

- 1.1. Le principe adopté de la planification permanente et de réajustement périodique des programmes et du plan ne peut pas se faire uniquement sur la base des retards enregistrés, des moyens financiers disponibles en volume, des goulots d'étranglements identifiés, etc...
- 1.2. La reprogrammation des programmes et du plan doit être également et dans une forte proportion le résultat d'une évaluation ex-post approfondie et continuelle des programmes et du plan.

Des bilans d'exécution annuels portant presque uniquement sur l'exécution financière en exploitant les comptabilités du Fonds National d'Investissement, de la Direction des Investissements, des Bailleurs de Fonds étrangers, etc.. ne méritent pas la qualification d'évaluation. Ils ne constituent que des constats d'exécution purement administrative et financière.

- 1.3. L'évaluation des programmes et du plan devait tenir compte de plusieurs critères permettant d'aller au delà d'un bilan d'exécution purement financière en identifiant :

- les effets socio-économiques, humains et des programmes et des projets,
- les insuffisances dans le cadre de la conception des programmes et des projets,
- les insuffisances dans l'exécution financière, administrative et physique,
- les effets intra et intersectoriels des programmes et des projets,
- les relations entre les effets socio-économiques et humains escomptés et les résultats obtenus,
- les raisons de la non-réalisation des objectifs et des effets escomptés,
- des mesures susceptibles de surmonter les difficultés, les goulots d'étranglement et les insuffisances conceptionnelles,

- 1.4. L'évaluation des programmes et du plan au sens classique nécessite une certaine indépendance et une autonomie respectée à l'égard de tous les services concernés et intéressés. Une cellule d'études et d'évaluation devait donc être séparée du point de vue organisation administrative et/ou hiérarchique des services de planification et d'exécution.

20/81

*action. A1A*

REPUBLIQUE DU NIGER

ANNEX B  
Niamey, le

PRM 1  
PUB 3

CONSEIL MILITAIRE SUPERIEUR

MINISTRE DES AFFAIRES ETRANGERES  
ET DE LA COOPERATION

20 JAN 1981

**ACTION:** DER  
**INFO:** ADO

DIRECTION DE LA COOPERATION  
INTERNATIONALE

- PROG-NG
- PROG-CS
- PROG-TE
- PROG-SE
- PDE
- CGMT
- FMSU
- CHRON
- RF

N° MAE/C/DCI *J*

**00426**

ACTION DUE 1-30-81

Le Ministère des Affaires Etrangères et de la Coopération de la République du Niger présente ses compliments à l'Ambassade des Etats-Unis d'Amérique et a l'honneur de lui informer que le Ministère du Plan donne son accord pour la mise en place d'une Cellule d'Evaluation des Projets.

Le Ministère des Affaires Etrangères et de la Coopération saisit cette occasion pour renouveler à l'Ambassade des Etats-Unis d'Amérique, les assurances de sa haute considération./.



AMBASSADE DES ETATS-UNIS  
D'AMERIQUE  
NIAMEY

VV FGN550EHR996  
 PP RUTH  
 DE RUEHC #6586/01 1350307  
 ZNR UUUUU ZZH  
 P 150202Z MAY 81  
 FM SECSTATE WASHDC  
 TO AMEMBASSY NIAMEY PRIORITY 5153  
 BT  
 UNCLAS STATE 126586

ACTION COPY

Action taken :
NAN :
Date
Initials

683-0229

15 MAY 81  
 TCR: 0819  
 CN: 01618  
 ACTION: AID  
 INFO: AMB DCM CHR

AIDAC

E.O. 12065: N/A

TAGS:

SUBJECT: PID REVIEW - PROJECT NO. 683-0229 - EVALUATION ASSISTANCE TO MINISTRY OF PLAN

REF: NIAMEY 02310

ACTION: DIR  
INFO: M/DIR  
 PROG  
 PDE  
 CONT  
 CHRON  
 RF

ACTION DUE 5-20-81

1. SUBJECT PID WAS REVIEWED AND RECOMMENDED FOR APPROVAL BY THE PROJECT COMMITTEE (PC) ON FRIDAY 8 MAY 1981 AND IEE WAS APPROVED BY THE BUREAU ENVIRONMENTAL OFFICER ON MONDAY 11 MAY 1981. DISCUSSION BROUGHT OUT THE FOLLOWING ISSUES AND PROBLEMS WHICH SHOULD BE TAKEN INTO ACCOUNT BY THE DESIGN TEAM.

2. THE PROJECT COMMITTEE RECOMMENDS THE FOLLOWING CONDITIONS ON MISSION APPROVAL OF THE PP:

A) COVENENT: THE PP SHOULD CONTAIN A COVENENT TO THE EFFECT THAT THE CON WILL HAVE AN ADEQUATELY STAFFED EVALUATION UNIT APPOINTED WITHIN (TO BE DETERMINED) DAYS OF THE SIGNATURE OF THE AGREEMENT.

B) SOURCE CRIGIN OR PROPRIETARY WAIVERS: IF THE PP AS FINALLY DESIGNED CONTAINS VEHICLE OR OTHER WAIVERS WHICH EXCEED MISSION AUTHCRITY, THE WAIVERS SHOULD BE APPROVED

IN AID/W PRIOR TO FIELD PP APPROVAL, BUT IN NO EVENT CAN THE PP BE AUTHORIZED UNTIL AFTER AID/W HAS ACKNOWLEDGED RECEIPT OF THE WAIVER REQUESTS.

C) DATA PROCESSING EQUIPMENT: IF THE PP AS FINALLY DESIGNED PROVIDES FOR DATA PROCFESSING EQUIPMENT (INCLUDING SOFTWARE AND OPERATING COSTS) WHICH WILL RAISE THE COMMODITIES LINE ITEM ABOVE DOLS. 20,000, THE MISSION MUST SUBMIT APPROPRIATE JUSTIFICATION FOR REVIEW AND APPROVAL BY THE PROJECT COMMITTEE EITHER PRIOR TO PP AUTHORIZATION OR BEFORE FUNDS ARE DISBURSED FOR THIS PURPOSE.

D) TWO MILLION DOLLAR LOP: THE LOP OF THE PP WHEN AUTHORIZED CAN NOT EXCEED DOLS. 2,000,000. BASED UPON APPROVED PID, AID/W PROCESSING CN RAISING LOP FROM DOLS. 1 MILLION TO DOLS. 2 MILLION.

3. THE FOLLOWING GUIDANCE IS PROVIDED BY THE PROJECT COMMITTEE TO THE PP DESIGN TEAM FOR CONSIDERATION AND

## RESOLUTION DURING PP PREPARATION:

A) POLITICS OF INFORMATION: CONCERN WAS EXPRESSED ABOUT HOW EXISTING NIGERIAN MINISTRIES WILL PERCEIVE THE CENTRAL ROLE OF THE MINISTRY OF PLAN IN THE GENERATION AND USE OF INFORMATION, SOME OF WHICH IS SURE TO BE SENSITIVE. IT WAS GENERALLY FELT THAT THE PP SHOULD CONTAIN A REALISTIC DISCUSSION OF HOW EVALUATION INFORMATION WILL BE GENERATED AND USED. THIS DISCUSSION COULD LEAD TO CHANGES IN PROJECT DESIGN WHICH WILL CONVINCED TECHNICAL MINISTRIES AND PROJECT MANAGERS THAT THE PROJECT WILL PRODUCE INFORMATION THAT WILL BE CONSTRUCTIVE. THE FIRST EVALUATIVE EXERCISES SHOULD BE SUFFICIENTLY NON-THREATENING TO FACILITATE LEARNING AND DEVELOP CONFIDENCE IN THE EVALUATIVE PROCESS.

B) ROLE OF EVALUATION UNIT: THE ORGANIZATION AND ROLE OF THE MINISTRY OF PLANS EVALUATION UNIT WAS DISCUSSED. GENERALLY IT WAS FELT THAT THE EVALUATION UNIT MAY NOT BE EFFECTIVE IF IT IS SEEN AS A CENTRALIZED POINT OF CONTROL. THE DESIGN TEAM SHOULD DETERMINE OPTIONS, I.E., SETTING IT UP AS A COORDINATING UNIT THAT PROVIDES RESOURCES AND WORKS IN A COLLABORATIVE MANNER WITH THE TECHNICAL MINISTRIES. CONSIDERABLE EMPHASIS SHOULD BE PLACED UPON EVALUATION AS A ESSENTIAL COMPONENT OF MANAGEMENT. AS SUCH, IT BECOMES ONE MORE TOOL AVAILABLE TO TECHNICAL MINISTRIES AND PROJECT MANAGERS. IF VIEWED AS SUCH A TOOL, THIS WILL FACILITATE THE ESTABLISHMENT OF FEEDBACK LOOPS AND COMMITMENT TO THE USE OF EVALUATION FINDINGS IN THE REDESIGN OF PROJECTS AND THE DEVELOPMENT OF POLICY. THE DESIGN TEAM SHOULD ALSO CONSIDER TRAINING NEEDS WITHIN THE TECH MINISTRIES AND/OR AT PROJECT LEVEL.

C) EVALUATION UNIT STAFFING: GENERALLY THE BEST EVALUATION UNITS ARE MULTI-DISCIPLINARY AND CONSIST OF PEOPLE WHO OVER THE YEARS HAVE PROVEN TO BE PERCEPTIVE EVALUATORS. THE DESIGN TEAM SHOULD TAKE A HARD LOOK AT THE KINDS OF INFORMATION THE UNIT WILL NEED TO DEAL WITH, THE SKILLS (LONG-TERM TRAINING) AND METHOD OF STAFFING (SKILLS; SECONDMENT VS PERMANENT STAFF). WITH RESPECT TO THE PROPOSED SECONDMENT OF PERSONNEL FROM TECH MINISTRIES, THE DESIGN TEAM SHOULD CONSIDER NOT ONLY HOW THIS WILL EFFECT THE WAY THE UNIT WILL BE VIEWED, BUT THE EFFECT ON PEOPLE'S CAREERS AND THE DEVELOPMENT OF THE UNITS OWN QUALITY EVALUATORS.

D) ENVIRONMENT: THE PC AGREES WITH THE STATEMENT ON PAGE 2 OF THE IEE THAT AS A RESULT OF THE PROJECT "NIGERIAN

PLANNERS WILL BE ABLE TO BETTER DESCRIBE AND QUANTIFY ....  
... ENVIRONMENTAL RISKS OF VARIOUS DEVELOPMENT PROGRAMS .....  
... THIS ASPECT OF THE PROJECT IS NOT MENTIONED IN THE  
BODY OF THE PID; THEREFORE, THE PP SHOULD LAY OUT HOW  
THIS SHOULD BE ACCOMPLISHED.

E) DATA PROCESSING AND PUBLICATION: DATA PROCESSING AND PUBLICATION CAPACITY ARE CRITICAL ELEMENTS IN ESTABLISHING A CREDITABLE EVALUATION UNIT. WITHIN THE CONSTRAINTS ESTABLISHED IN 2C. ABOVE, THE DESIGN TEAM SHOULD DEAL WITH THIS ISSUE IN THE PP. THE PC FELT THAT EMPHASIS SHOULD BE PLACED UPON SIMPLE DATA COLLECTION AND ANALYSIS APPROACHES. AID/W SHOULD BE CONSULTED IF ANYTHING BUT SIMPLE DATA PROCESSING EQUIPMENT IS REQUIRED.

F) VEHICLES: CONCERN WAS EXPRESSED THAT 10 VEHICLES MAY BE EXCESSIVE TO THE NEEDS OF THE PROJECT. THE PP DESIGN TEAM SHOULD INCLUDE JUSTIFICATION FOR THESE VEHICLES.

G) TECHNICAL ASSISTANCE: THE FINAL ISSUE DISCUSSED REVOLVED AROUND THE RIGIDITY OF THE PROPOSED PLAN FOR PROVIDING TECHNICAL ASSISTANCE. GENERALLY, IT WAS FELT THAT TOO MUCH EMPHASIS WAS BEING PLACED UPON A RIGOROUS SET OF QUALIFICATIONS FOR THE POSITION AND A THREE YEAR TOUR OF DUTY. IT WAS THE CONSENSUS, THAT THE DESIGN TEAM SHOULD CONCENTRATE ON DEFINING THE NATURE OF THE PROBLEMS TO BE FACED AND THAT AID/W SHOULD BE GIVEN CONSIDERABLE FLEXIBILITY IN CONTRACTING FOR THE ADVISORY TEAM. THE ACADEMIC BACKGROUNDS OF EVALUATORS VARY WIDELY; FEW OF THEM ARE LIKELY TO AGREE TO A THREE YEAR TOUR. CONSEQUENTLY, CONSIDERABLE FLEXIBILITY SHOULD BE GIVEN TO ORGANIZATIONS AND INDIVIDUALS IN DEVELOPING PROPOSALS WHICH PROVIDE BOTH THE QUALITY AND DESIRED CONTINUITY OVER THE LIFE OF THE PROJECT. HAIG

BT  
#6586

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2/2

UNCLASSIFIED

STATE 126586

ANNEX D

PROCUREMENT SOURCE WAIVER REQUEST FOR INCLUSION IN PROJECT AUTHORIZATION

Problem: Timely implementation of the Evaluation Assistance Project requires the procurement of two passenger vehicles of non-U.S. manufacture. In order to allow such procurement, the Director, USAID/Niger, is required to grant:

- (a) A source/origin waiver from Geographic Code 000 (U.S. only) to Code 935 (special Free World); and
- (b) A waiver of provisions of section 636 (i) of the Foreign Assistance Act

Facts:

- (a) Cooperating Entity: Republic of Niger
- (b) Authorization Document: Grant 683-0229
- (c) Project: Evaluation Assistance
- (d) Nature of Funding: Grant
- (e) Description of Goods: Two passenger vehicles
- (f) Approximate Value: \$21,000
- (g) Probable Source: Niger
- (h) Probable Origin: France
- (i) Source Waivers Granted by Mission: None

Discussion:

A. Source and Origin Waiver

In accordance with AID Handbook 1B, procurement of commodities from Code 935 source under grant-financed projects requires a waiver. Under Handbook 1B, Chapter 5B4b(1), a waiver may be granted if "There is an emergency requirement for which non-AID funds are not available, and the requirement can be met in time only from suppliers in a country not included in the authorized Geographic Code ". The authority to make such a determination and grant a waiver has been delegated to you by Africa Bureau Delegation of Authority No. 140.

AID/Niger expects to sign a Grant Agreement with the Government of Niger for the Evaluation Assistance Project during the final quarter of FY 1981. Immediately upon signing of the Agreement, the Mission will issue Project Implementation Orders for purchase of vehicles and recruitment of long-term technicians to execute the Project. Since at least one of the long-term technicians has already been identified

and approved by the Government of Niger, it is clear that there will be little, if any, delay in recruitment of technicians to initiate evaluation program activities. Even with immediate placement of vehicle orders, however, long delays in delivery can be anticipated if off-shore procurement is required. (International Harvester, the only U.S. manufacturer with a delivery record in Niger, has been unable to promise deliveries in less than 12 months). No U.S.-manufactured vehicles are presently stocked or handled by local dealers.

In order to achieve project goals within the timeframe set out by Project designers, it is critically important that the evaluation technicians be recruited at the earliest possible moment and that they be provided the equipment necessary to perform their function immediately upon arrival in Niger. Timing requirements therefore preclude delays that are inherent in off-shore procurement.

The need for eight other vehicles to be provided under the Project will be far less urgent than that for these initial vehicles, and decision regarding their purchase can and should be delayed until determinations are made about AID/Niger's request for a blanket waiver of regulations requiring purchase of vehicles of U.S. source and manufacture.

Experience under other projects in Niger has shown that U.S. source vehicles without locally available parts and service support cannot provide the reliability needed to meet project goals. No U.S.-manufactured vehicles are presently stocked or handled by local dealerships, and though Jeep is considering establishment of a local dealership, if it does so, it will be some time before vehicles are delivered, replacement parts are installed and local mechanics trained.

The purchase of Peugeot is proposed because these vehicles are available from shelf stock, they are a popular car in Niger, and parts and service are readily available. The major use will be for in-town driving within Niamey and highway driving between the major Nigerien cities. Project designers do anticipate heavy use of the vehicles outside of Niamey, however, and therefore do not recommend the purchase of other lighter sedans which are available locally such as Renault, Citroen and Toyota. The parts and service support capabilities for these other makes does not equal those of Peugeot. Recurrent costs for maintenance should also be considered, and the Peugeot is the standard vehicle most common to the Ministry of Plan fleet.

As noted in the Evaluation Assistance PID, one of the major constraints to establishment of an evaluation system in the Ministry of Plan is the lack of material support for the program. No funding has been or is available from other sources for purchase of vehicles for the Project.

E. Waiver of Section 636(i)

In addition to the general source/origin limitations on the procurement of commodities, section 636(i) of the FAA prohibits the procurement of vehicles of non U.S. manufacture. However, the provisions of section 636(i) may be waived when special circumstances permit it. Under Handbook 1B, Chapter 4C2d(1)(c), special circumstances are deemed to exist if there is an "emergency requirement for vehicles for which non-AID funds are not available, and which can be met in time only by purchase of non-U.S. manufactured vehicles."

Since, as discussed in the source/origin context, there is an emergency need for the subject vehicles, non-AID funds are not available, and the need may be met only by local purchase of vehicles of Code 935 origins; the special circumstances criteria set forth above is satisfied. The authority to find such circumstances and grant a waiver has also been delegated to you by Africa Bureau Delegation of Authority No. 140.

Conclusion:

The waivers authorizing the procurement of two light passenger vehicles from France are justified because there is an emergency requirement for which non-AID funds are not available, and the requirement can be met in time only from suppliers in a country not in the authorized Geographic Code. For these reasons it is concluded that:

- (1) exclusions of procurement from free world countries other than the cooperating country and countries included in Code 941 would seriously impede the attainment of U.S. foreign policy objectives and the objectives of the foreign assistance program; and

Special circumstances exist which merit

- (2) a waiver of the provisions of 631(i) of the Foreign Assistance Act of 1961, as amended; and
- (3) approval of a vehicle procurement source/origin waiver from the Geographic Code 000 to Code 935.

These waivers and certification are included by reference in the authorizing document for the Evaluation Assistance Project. Signature of that document comprises approval of the certification statement and waivers above.

Clearances:   PROG: MGolden  
                  PMSU: WMeeks  
                  A/DIR: JLoVaas  
                  CONT: Shropshire  
Drafted by:   TBarker 6.5.81

APPENDIX 1  
to PID  
Initial Environmental Examination  
(IEE)

Project Country: Republic of Niger

Project Title: Evaluation Assistance Project (683-0229)

Funding: Sahel Development Program FY 81: Life of Project  
Funding - \$2,100,000 (AID).

Period of Project: 42 months (6/81 to 11/84).

IEE Prepared by: Terry J. Barker, USAID/Niger

Environmental Action Recommended: Negative Determination.

Concurrence: Jay P. Johnson, Mission Director  
USAID/Niger

Date: 1 July 1981

Approved Jay P. Johnson

Disapproved \_\_\_\_\_

Date \_\_\_\_\_

## I. Description of Project

The purpose of the Evaluation Assistance Project is to establish a functioning program evaluation unit in the Ministry of Plan. The Project will place a long-term evaluation technician into a counterpart role in the Directorate of Programs and Plan in the Ministry of Plan, and will provide basic commodities (vehicles, office equipment and furniture) and some short-term technical assistance to permit the evaluation unit to train Nigerien technicians in program evaluation techniques and methodologies. The Nigerien technicians trained under the project will be used to execute a number of AID-financed program evaluations over the three year life of the Project.

The evaluation Project is designed to institutionalize a concept which has as its principal objective the increased efficiency and effectiveness which comes through critical analysis. Leading officials in the Government of Niger currently perceive evaluation as a simple instrument to verify project achievements against project plans. Technical assistance and training provided under this project is designed to provide officials with a broader concept of evaluation as well as practical experience in evaluation implementation. It should convey an appreciation for efficiencies which can be obtained by formative, corrective action which stems from evaluation of existing programs and policies. Though evaluation is the object of much discussion within the Government of the Republic of Niger, it is no more an innate concept in the Nigerien bureaucracy than it is in others. It must be introduced through a process of training and demonstration. This project will provide guidance, practical training, and material support necessary to accomplish this introduction. The Ministry of Plan-based development program evaluation system will, it is hoped, prove to be the core of a more efficient data management, information exchange and analysis system which can insure that higher quality and more reliable advice is provided to policymakers by administrative bodies within the various ministries.

## II. Examination of the Nature, Scope and Magnitude of Environmental Impacts:

The environmental impact of this institution-building project is minimal. Direct impact of the project on the physical environment of Niger and its natural resource base is limited to the effects, over the next three to six years, of an additional eleven vehicles on the increasingly crowded streets of Niamey and in the Niger Countryside. This effect will be reduced somewhat by the fact that only 6 of the vehicles will be engaged in project work during any one period of the project. Five of the vehicles are replacement vehicles to be provided only at the end of the project.

It is anticipated that the project will have small but beneficial impacts on Niger's social environment. The primary impact envisioned is that Nigerian development planners will develop a more critical attitude about development programs and plans. Given improved analytical and methodological evaluation capabilities developed under this project, Nigerian planners will be able to better describe and quantify the social and environmental risks of various development programs being carried out or being considered for implementation in Niger. They should also be better able to explain to decision makers the relative risks and benefits to the environment of alternative development planning and policy decisions. This alone should prove to be an important step toward increased environmental consciousness.

III. Recommended Environmental Action:

Based on Definition in the A.I.D. Handbook 3, Appendix 4B, Section 216.2 (A and C) of 1976 and as amended in 1978, it is hereby recommended that a Negative Determination be made for this project.

IMPACT IDENTIFICATION AND EVALUATION

Impact Areas and Sub-areas:

Impact Identification/  
Evaluation 1/

A. Land Use

- 1. Changing the character of the land through:
  - a. Increasing Population . . . . . N
  - b. Extracting Natural Resources . . . . . N
  - c. Land Clearing . . . . . N
  - d. Changing Soil Character . . . . . N
- 2. Altering Natural Defenses . . . . . N
- 3. Foreclosing Important Uses . . . . . N
- 4. Jeopardizing Man or His Works . . . . . N

B. Water Quality

- 1. Physical State of Water . . . . . N
- 2. Chemical and Biological States . . . . . N
- 3. Ecological Balance . . . . . N
- 4. Excreta Pollution of Water . . . . . N

1/ Use of Symbols: N - No environmental impact  
L - Little environmental impact  
M - Moderate environmental impact  
H - High environmental impact  
U - Unknown environmental impact

Impact Areas and Sub-Areas:

C. Atmospheric Quality

- 1. Air Additives . . . . . L
- 2. Air Pollution . . . . . L
- 3. Noise Pollution . . . . . L

D. Natural Resources

- 1. Diversion/altered use of water . . . . . N
- 2. Irreversible/inefficient commitments . . . . . N

E. Cultural

- 1. Altering Physical symbols . . . . . N
- 2. Dilution of cultural traditions . . . . . N
- 3. Altering Traditional Power Structure . . . . . N

F. Socio-economic

- 1. Changes in economic/employment pattern . . . . . N
- 2. Changes in population . . . . . N

G. Health

- 1. Changing a natural environment . . . . . N
- 2. Controversial impacts . . . . . N
- 3. Larger program impacts . . . . . U

611 (e) Certification

I, Jay P. Johnson, AID/Niger Mission Director, having taken into account, among other things, the demonstrated capacity and willingness of the Republic of Niger to provide budgetary, technical and administrative support to the large portfolio of AID-financed projects currently being implemented in the Republic of Niger, do hereby certify that in my judgement the Government of the Republic of Niger has shown the financial, economic and technical capability to maintain and utilize effectively the assistance provided under the Evaluation Assistance Project.

I also certify, in view of the demonstrated ability of the Republic of Niger to carry out the implementation tasks of the other AID-financed projects described above, and in view of the cost effective, relatively low recurrent cost nature of the Evaluation Assistance Project, that the activities to be financed by the funds provided under this Project are economically, financially and technically feasible.

611 (a) (1) Certification

I further attest to the fact that sufficient planning and analysis have been performed to provide a reasonably firm estimate to the U.S. Government of the costs of the Project.

  
Jay P. Johnson  
Director, AID/Niger

Date: 1 July 1981

5C(1) - COUNTRY CHECKLIST

Listed below are, first, statutory criteria applicable generally to FAA funds, and then criteria applicable to individual fund sources: Development Assistance and Economic Support Fund.

A. GENERAL CRITERIA FOR COUNTRY ELIGIBILITY

1. FAA Sec. 116. Can it be demonstrated that the contemplated assistance will directly benefit the needy? If not, has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights?

Affirmative. This project and the USAID/Niger development assistance program in general directly benefit the needy. (See CDSS 1982, PES 80-5, PES 80-6). Furthermore, the GON has not violated internationally recognized human rights on a consistent basis (See Niamey 4498 of 09/25/80).

2. FAA Sec. 481. Has it been determined that the government of recipient country has failed to take adequate steps to prevent narcotics drugs and other controlled substances (as defined by the Comprehensive Drug Abuse Prevention and Control Act of 1970) produced or processed, in whole or in part, in such country, or transported through such country, from being sold illegally within the jurisdiction of such country to U.S. Government personnel or their dependents, or from entering the United States unlawfully?

Negative.

3. FAA Sec. 620(b). If assistance is to a government, has the Secretary of State determined that it is not controlled by the international Communist movement?

Affirmative.

4. FAA Sec. 620(c). If assistance is to government, is the government liable as debtor or unconditional guarantor on any debt to a U.S. citizen for goods or services furnished or ordered where (a) such citizen has exhausted available legal remedies and (b) debt is not denied or contested by such government?

Negative.

5. FAA Sec. 620(e)(1). If assistance is to a government, has it (including government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities?

Negative.

A.

6. FAA Sec. 620(a), 620(f); FY 79 App. Act, Sec. 108, 114 and 606. Is recipient country a Communist country? Will assistance be provided to the Socialist Republic of Vietnam, Cambodia, Laos, Cuba, Uganda, Mozambique, or Angola?

Negative.

7. FAA Sec. 620(i). Is recipient country in any way involved in (a) subversion of, or military aggression against, the United States or any country receiving U.S. assistance, or (b) the planning of such subversion or aggression?

Negative.

8. FAA Sec. 620 (j). Has the country permitted, or failed to take adequate measures to prevent, the damage or destruction, by mob action, of U.S. property?

Negative. The GON has consistently taken adequate measures to insure the protection of U.S.G. personnel and properties.

9. FAA Sec. 620(l). If the country has failed to institute the investment guaranty program for the specific risks of expropriation, inconvertibility or confiscation, has the AID Administrator within the past year considered denying assistance to such government for this reason?

Negative. GON investment guaranty program covers all three categories and has no outstanding disputes with American interests. (See Investment Climate Statement - Niamey 2889 of 06/30/80).

10. FAA Sec. 620(o); Fishermen's Protective Act of 1967, as amended, Sec. 5. If country has seized, or imposed any penalty or sanction against, any U.S. fishing activities in international waters:

Negative.

a. has any deduction required by the Fishermen's Protective Act been made?

b. has complete denial of assistance been considered by AID Administrator?

11. FAA Sec. 620; FY 79 App. Act, Sec. 603. (a) Is the government of the recipient country in default for more than 6 months on interest or principal of any AID loan to the country? (b) Is country in default exceeding one year on interest or principal on U.S. loan under program for which App. Act appropriates funds?

Negative.

12. FAA Sec. 620(s). If contemplated assistance is development loan or from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget which is for military expenditures, the amount of foreign exchange spent on military equipment and the

Negative. Contemplated assistance is economic development assistance is provided by the U.S.G. on a grant basis.

A.12.

amount spent for the purchase of sophisticated weapons systems? (An affirmative answer may refer to the record of the annual "Taking Into Consideration" memo: "Yes, as reported in annual report on implementation of Sec. 620(s)." This report is prepared at time of approval by the Administrator of the Operational Year Budget and can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.)

13. FAA Sec. 620(t). Has the country severed diplomatic relations with the United States? If so, have they been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

Negative. Bilateral Assistance Agreement signed on 05/26/61 remains in effect. (See: Treaties and Other International Acts Series 4786).

14. FAA Sec. 620(u). What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the AID Administrator in determining the current AID Operational Year Budget?

The GON is not in arrears in its obligations to the United Nations.

15. FAA Sec. 620A, FY 79 App. Act, Sec. 627. Has the country granted sanctuary from prosecution to any individual or group which has committed an act of international terrorism?

Negative.

16. FAA Sec. 666. Does the country object, on basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. there to carry out economic development program under FAA?

Negative.

17. FAA Sec. 669, 670. Has the country, after August 3, 1977, delivered or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards? Has it detonated a nuclear device after August 3, 1977, although not a "nuclear-weapon State" under the nonproliferation treaty?

Negative.

B. FUNDING CRITERIA FOR COUNTRY ELIGIBILITY

1. Development Assistance Country Criteria

a. FAA Sec. 102(b)(4). Have criteria been established and taken into account to assess commitment progress of country in effectively involving the poor in development, on such indexes as: (1) increase in agricultural productivity through small-farm labor intensive agriculture, (2) reduced infant mortality, (3) control of population growth, (4) equality of income distribution, (5) reduction of unemployment, and (6) increased literacy?

Criteria for such an assessment have been established and referenced below are reporting cables containing the mission's assessment in accordance with the specified criteria.

(A) Niamey 4980 of 10/15/79.

(B) ToAID A-2 of 01/27/79.

Also see Niger CDSS FY-82.

B.1.

b. FAA Sec. 104(d)(1). If appropriate, is this development (including Sahel) activity designed to build motivation for smaller families through modification of economic and social conditions supportive of the desire for large families in programs such as education in and out of school, nutrition, disease control, maternal and child health services, agricultural production, rural development, and assistance to urban poor?

USAID/Niger's development assistance program seeks to raise rural incomes, promote the utilization of appropriate agricultural production technologies, improve rural health and increase the educational opportunities of Nigeriens. All of these program objectives offer the potential motivation to decrease Niger's current population growth rate. In addition to project activities, USAID/Niger has begun a dialogue with GON officials on population concerns which hopefully will result in the GON taking a positive public stance in favor of voluntary family planning. (See (A) Population Impact Analysis USAID/Niger Program ToAID A-36 of 11/28/78 and (B) Niger CDSS FY-82).

5C(2) - PROJECT CHECKLIST

Listed below are statutory criteria applicable generally to projects with FAA funds and project criteria applicable to individual fund sources: Development Assistance (with a subcategory for criteria applicable only to loans); and Economic Support Fund.

CROSS REFERENCES: IS COUNTRY CHECKLIST UP TO DATE?  
HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PRODUCT?

A. GENERAL CRITERIA FOR PROJECT

1. FY 79 App. Act Unnumbered; FAA Sec. 611(b); Sec. 634A. (a) Describe how Committees on Appropriations of Senate and House have been or will be notified concerning the project; (b) is assistance within (Operational Year Budget) country or international organization allocation reported to Congress (or not more than \$1 million over that figure)?

A project data sheet for the Evaluation Assistance Project appears on p.109 of Agency for International Development Congressional Presentation for FY 1981, Annex I, Africa Programs. A Congressional Notification has also been sent to the Hill alerting Congress of AID's intention to raise the life of project fund-\*

2. FAA Sec. 611(a)(1). Prior to obligation in excess of \$100,000, will there be (a) engineering, financial, and other plans necessary to carry out the assistance and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?

(a) yes; (b) yes

3. FAA Sec. 611(a)(2). If further legislative action is required within recipient country, what is basis for reasonable expectation that such action will be completed in time to permit orderly accomplishment of purpose of the assistance?

Not required

4. FAA Sec. 611(b); FY 79 App. Act Sec. 301. If for water or water-related land resource construction, has project met the standards and criteria as per the Principles and Standards for Planning Water and Related Land Resources dated October 25, 1973?

No construction is planned under the project

5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and all U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability effectively to maintain and utilize the project?

Affirmative

6. FAA Sec. 209. Is project susceptible of execution as part of regional or multilateral project? If so why is project not executed? Information and conclusion whether assistance will encourage regional development programs.

Negative

\*ing for this project from \$1 million to \$2 million.

A.

7. FAA Sec. 601(a). Information and conclusions whether project will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

8. FAA Sec. 601(b). Information and conclusion on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

9. FAA Sec. 612(b); Sec. 636(h). Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized to meet the cost of contractual and other services.

10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?

11. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

12. FY 79 App. Act Sec. 608. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar, or competing commodity?

## B. FUNDING CRITERIA FOR PROJECT

### 1. Development Assistance Project Criteria

a. FAA Sec. 102(b); III; 113; 281a. Extent to which activity will (a) effectively involve the poor in development, by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained

This project is designed to institutionalize evaluation as a management concept in Niger's principal rural development mini-stories. To the extent that evaluation of rural development projects and programs result in increased efficiency of those programs, this project will have a distinct positive effect on each of the elements listed in Sec.601(a).

The project will neither encourage nor discourage private U.S. trade and investment abroad. It is possible that personnel for long and/or short-term technical assistance under the project could come from private U.S. enterprises.

The RN will pay personnel costs for Nigeriens associated with the project and much of the local support costs for project activities (see project budget for details). GON budgeting constraints will require that a portion of the grant funds be used to meet some local currency costs.

The U.S. Government owns no excess foreign currency in Niger.

Yes

Not applicable. No commodity will be produced.

(a) The poor will benefit indirectly from the Evaluation Assistance Project as a result of more effective targeting and administration of rural development programs.

B.1.a.

basis, using the appropriate U.S. institutions; (b) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries?

b. FAA Sec. 103, 103A, 104, 105, 106, 107.  
Is assistance being made available? (include only applicable paragraph which corresponds to source of funds used. If more than one fund source is used for project, include relevant paragraph for each fund source.)

(1) [103] for agriculture, rural development or nutrition; if so, extent to which activity is specifically designed to increase productivity and income of rural poor; [103A] if for agricultural research, is full account taken of needs of small farmers;

(2) [104] for population planning under sec. 104(b) or health under sec. 104(c); if so, extent to which activity emphasizes low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems and other modes of community research.

(3) [105] for education, public administration, or human resources development; if so, extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, or strengthens management capability of institutions enabling the poor to participate in development;

(4) [106] for technical assistance, energy, research, reconstruction, and selected development problems; if so, extent activity is:

(i) technical cooperation and development, especially with U.S. private and voluntary, or regional and international development organizations;

(ii) to help alleviate energy problems;

(iii) research into, and evaluation of, economic development processes and techniques;

(iv) reconstruction after natural or manmade disaster;

(b) To the extent that evaluations of current rural development programs involving cooperatives and other democratic private and local governmental institutions are undertaken under the project, the project will help improve the development patterns of those institutions. (contd. next page..)

Affirmative

See responses to A.7 and B.1.a. above.

N/A

See responses to A.7 and B.1.a. above

N/A

B.1.a. (contd..)

- (c) The Evaluation Assistance Project is designed to institutionalize better management techniques in Nigerien development projects and program administration. It will help the Nigeriens plan their development programs more effectively and will contribute, therefore, to the RN's own goal of economic self-sufficiency.
- (d) The Project does not directly address the issue of women's status and participation in development. Project and program evaluation will, however, inevitably focus attention on and indirectly affect women's roles in rural development programs.
- (e) Though this project may affect the quality of evaluation of projects having regional linkages and impact, it is a national institution-building project which is not designed to either encourage or discourage regional cooperation.

B.1.b.(4).

(v) for special development problem, and to enable proper utilization of earlier U.S. infrastructure, etc., assistance;

(vi) for programs of urban development, especially small labor-intensive enterprises, marketing systems, and financial or other institutions to help urban poor participate in economic and social development.

c. [107] Is appropriate effort placed on use of appropriate technology?

d. FAA Sec. 110(a). Will the recipient country provide at least 25% of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or has the latter cost-sharing requirement been waived for a "relatively least-developed" country)?

Though Niger qualifies as an RLDC, the RN will provide at least 25% of the costs of the program in "in-kind" contributions.

e. FAA Sec. 110(b). Will grant capital assistance be disbursed for project over more than 3 years? If so, has justification satisfactory to the Congress been made, and efforts for other financing, or is the recipient country "relatively least developed"?

This is not a capital project

f. FAA Sec. 281(d). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in skills required for effective participation in governmental and political processes essential to self-government.

One principal objective of the Evaluation Assistance Project is to make the RN more independent of outside assistance for analysis and evaluation of its development plans and programs. The Project will help mold a more effective development planning and implementation system from the existing planning and administrative structures, i.e.\*

g. FAA Sec. 22(b). Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase or productive capacities and self-sustaining economic growth?

Yes. See responses to A.6.(c) and A.7 above

\* it will utilize Nigerien offices and personnel to achieve better administration of development programs. Thus, the Project does "use the country's intellectual resources to encourage institutional development".

50(3) - STANDARD ITEM CHECKLIST

Listed below are statutory items which normally will be covered routinely in those provisions of an assistance agreement dealing with its implementation, or covered in the agreement by imposing limits on certain uses of funds.

These items are arranged under the general headings of (A) Procurement, (B) Construction, and (C) Other Restrictions.

A. Procurement

- |  |   |
|--|---|
| 1. <u>FAA Sec. 602.</u> Are there arrangements that permit U.S. small business to participate equitably in the furnishing of goods and services financed?  | Yes, through AID's normal procurement practices.                    |
| 2. <u>FAA Sec. 604(a).</u> Will all commodity procurement financed be from the U.S. except as otherwise determined by the President or under delegation from him?  | Yes   |
| 3. <u>FAA Sec. 604(d).</u> If the cooperating country discriminates against U.S. marine insurance companies, will agreement require that marine insurance be placed in the United States on commodities financed?  | Niger does not discriminate against U.S. marine insurance companies |
| 4. <u>FAA Sec. 604(e).</u> If offshore procurement of agricultural commodity or product is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity?  | Yes   |
| 5. <u>FAA Sec. 608(a).</u> Will U.S. Government excess personal property be utilized wherever practicable in lieu of the procurement of new items?   | Yes   |
| 6. <u>FAA Sec. 603.</u> (a) Compliance with requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 per centum of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S.-flag commercial vessels to the extent that such vessels are available at fair and reasonable rates. | Yes   |
| 7. <u>FAA Sec. 621.</u> If technical assistance is financed, will such assistance be furnished to the fullest extent practicable as goods and professional and other services from private enterprise on a contract basis? If the  | Yes   |

A.7.

facilities of other Federal agencies will be utilized, are they particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

8. International Air Transport. Fair Competitive Practices Act, 1974. If air transportation of persons or property is financed on grant basis, will provision be made that U.S.-flag carriers will be utilized to the extent such service is available? Yes

9. FY 79 App. Act Sec. 105. Does the contract for procurement contain a provision authorizing the termination of such contract for the convenience of the United States? Yes

B. Construction

1. FAA Sec. 601(d). If a capital (e.g., construction) project, are engineering and professional services of U.S. firms and their affiliates to be used to the maximum extent consistent with the national interest? This is not a capital project

2. FAA Sec. 611(c). If contracts for construction are to be financed, will they be let on a competitive basis to maximum extent practicable? There is no construction proposed under the Project.

3. FAA Sec. 620(k). If for construction of productive enterprise, will aggregate value of assistance to be furnished by the United States not exceed \$100 million? This Project does not involve construction of productive enterprise

C. Other Restrictions

1. FAA Sec. 122 (e). If development loan, is interest rate at least 2% per annum during grace period and at least 3% per annum thereafter? N/A

2. FAA Sec. 301(d). If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights? N/A

3. FAA Sec. 620(h). Do arrangements preclude promoting or assisting the foreign aid projects or activities of Communist-bloc countries, contrary to the best interests of the United States? Yes

4. FAA Sec. 636(1). Is financing not permitted to be used, without waiver, for purchase, long-term lease, or exchange of motor vehicle manufactured outside the United States, or guaranty of such transaction? Yes

C.

5. Will arrangements preclude use of financing:

- a. FAA Sec. 104(f). To pay for performance of abortions or to motivate or coerce persons to practice abortions, to pay for performance of involuntary sterilization, or to coerce or provide financial incentive to any person to undergo sterilization? Yes
- b. FAA Sec. 620(g). To compensate owners for expropriated nationalized property? Yes
- c. FAA Sec. 660. To finance police training or other law enforcement assistance, except for narcotics programs? Yes
- d. FAA Sec. 662. For CIA activities? Yes
- e. FY 79 App. Act Sec. 104. To pay pension, etc., for military personnel? Yes
- f. FY 79 App. Act Sec. 106. To pay U.N. assessments? Yes
- g. FY 79 App. Act Sec. 107. To carry out provisions of FAA sections 209(d) and 251(h)? (Transfer of FAA funds to multilateral organizations for lending.) Yes
- h. FY 79 App. Act Sec. 112. To finance the export of nuclear equipment, fuel, or technology or to train foreign nations in nuclear fields? Yes
- i. FY 79 App. Act Sec. 601. To be used for publicity or propaganda purposes within United States not authorized by the Congress? Yes

# memorandum

DATE: June 4, 1981

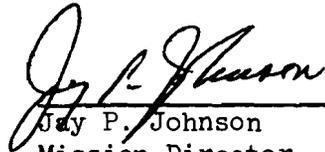
REPLY TO  
ATTN OF: Cameron Pippitt, Chairman, Project Committee

*ef*

SUBJECT: Evaluation Assistance Project 633-0229

TO: Jay P. Johnson, Mission Director, USAID/Niger

Handbook 10, Chapter 17, requires that international travel for participant trainees under AID grants be paid by the cooperating country unless the Mission Director justifies an exception to this rule. The Project Committee recommends that you find by your signature below that the financial situation of the Republic of Niger justifies AID financing of international travel costs for participant trainees under the above-reference project.

  
\_\_\_\_\_  
Jay P. Johnson  
Mission Director  
USAID/Niger

1 July 1981  
Date

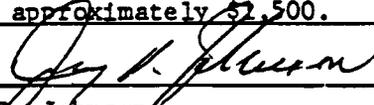
Clearances:

PMSU:PMcDuffie \_\_\_\_\_  
CONT:HShropshire *[Signature]*



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

ANNEX I

AGENCY FOR INTERNATIONAL DEVELOPMENT <b>PROJECT IDENTIFICATION DOCUMENT</b> FACESHEET (PID)				1. TRANSACTION CODE <input type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete	Revision No. _____	DOCUMENT CODE 1			
2. COUNTRY/ENTITY NIGER		3. PROJECT NUMBER 683-0229		4. BUREAU/OFFICE USAID/Niger			5. PROJECT TITLE (maximum 40 characters) Evaluation Assistance Project		
6. ESTIMATED FY OF AUTHORIZATION/OBLIGATION/COMPLETION  A. Initial FY <input type="text" value="8"/> <input type="text" value="1"/> B. Final FY <input type="text" value="8"/> <input type="text" value="3"/> C. PACD <input type="text" value="8"/> <input type="text" value="5"/>		7. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 = _____)		FUNDING SOURCE			LIFE OF PROJECT		
		A. AID		2,000					
		B. Other U.S.		1. _____ 2. _____					
		C. Host Country		600					
		D. Other Donor(s)		IBRD (9,000)					
		TOTAL		2,600					
8. PROPOSED BUDGET AID FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE		D. 1ST FY <input type="text" value="8"/> <input type="text" value="1"/>		E. LIFE OF PROJECT			
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan		
(1)	SH	684	710	600		2,000			
(2)									
(3)									
(4)									
TOTALS				600		2,000			
9. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)						10. SECONDARY PURPOSE CODE			
184		284		584					
11. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)									
A. Code		INTR		TNG					
B. Amount		2,000		804					
12. PROJECT PURPOSE (maximum 480 characters)									
To establish a functioning development program evaluation unit in the Nigerien Ministry of Plan.									
13. RESOURCES REQUIRED FOR PROJECT DEVELOPMENT									
Staff: 1. Program Planner/Evaluation Specialist (AID/W) 3 weeks 2. Program Planner (AID/Niger) 3 weeks 3. Project Design Officer (AID/Niger) 3 weeks 4. Secretarial/Translation Services (local contract)									
Funds The Mission believes the PP design effort can be completed with available direct hire AID staff. Should AID/W be unable to provide the Evaluation Specialist, the estimated cost of providing a contractor in that position is \$12,000. Local typing and translation services will cost approximately \$2,500.									
14. ORIGINATING OFFICE CLEARANCE		Signature 				15. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION			
		Title Jay F. Johnson Mission Director, USAID/Niger		Date Signed MM DD YY		MM DD YY			
16. PROJECT DOCUMENT ACTION TAKEN <input type="checkbox"/> S = Suspended      CA = Conditionally Approved <input type="checkbox"/> A = Approved      DD = Decision Deferred <input type="checkbox"/> D = Disapproved					17. COMMENTS				
18. ACTION APPROVED BY		Signature			19. ACTION REFERENCE		20. ACTION DATE		
		Title					MM DD YY		

**PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK**

Life of Project:  
From FY \_\_\_\_\_ to FY \_\_\_\_\_  
Total U. S. Funding \_\_\_\_\_  
Date Prepared: \_\_\_\_\_

Project Title & Number: Evaluation Assistance Project (683-0229)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes:</p> <p>To increase the efficiency and effectiveness of the R.M.'s development program management and administration</p>	<p>Measures of Goal Achievement:</p> <p>Improved performance and increased success of programs in which feedback of ongoing evaluations affected policy decisions.</p>	<p>- Records of policy decisions - Government statistics</p>	<p>Assumptions for achieving goal targets:</p> <p>That policy makers want and will accept and utilize reliable, objective evaluation results</p>
<p>Project Purpose:</p> <p>To establish a functioning program evaluation support unit in the Ministry of Plan and effective linkages and information exchanges with the technical ministries.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <p>existence of an active evaluation system capable of carrying out professional critical analysis within any major development sector.</p> <p>Evidence that the Min. of Plan will look to the evaluation Bureau for reports for an analysis of experience to date before formulating new programs or encouraging particular policies in one of the development sectors.</p>	<p>Review of mechanisms for evaluation; Review actions taken by the Ministry of Plan in response to the evaluations conducted with the assistance of its evaluation Bureau. Review of evaluations/assessments and analyses; interviews with evaluation personnel.</p>	<p>Assumptions for achieving purpose:</p> <p>That qualified personnel are assigned to the unit and the Ministry officials provide the backing and support necessary to carry out critical evaluations.</p>
<p>Outputs:</p> <ol style="list-style-type: none"> <li>1. A trained, experienced pool of evaluation technicians and trainers in the Ministry of Plan.</li> <li>2. A system (protocol) whereby the trained Nigerian staff of the evaluation Bureau in the Ministry of Plan will have access to the reports on project evaluations conducted by the technical ministries.</li> <li>3. A capability to conduct major program evaluations or sector assessments</li> <li>4. A capability to conduct major program evaluations and sector assessments at the regional level (department)</li> <li>5. A data bank and document archives on program and project evaluation.</li> <li>6. An evaluation training component in E.N.A.</li> </ol>	<p>Magnitude of Outputs:</p> <p>Project designers foresee the need for a core of 5 or possibly 6 Nigeriens trained in evaluation;</p> <p>An information system covering all ministries directly involved in implementing development programs. By the end of the third year of the project the evaluation Bureau in the Ministry of Plan will begin to conduct major program evaluations or sector assessments.</p> <p>Well trained Ministry of Plan evaluation cadres at the regional (department) level.</p> <p>Quality program evaluations at the regional level will be conducted in at least two departments.</p>	<p>Lists of names of trained cadres; observations of people's work and/or reports; records of participation by technical ministries in the information exchange system of the Ministry of Plan.</p> <p>- Review of reports</p>	<p>Assumptions for achieving outputs:</p> <p>That adequate numbers of qualified personnel will be assigned to evaluation teams and training programs to permit creation of the "pool"</p> <p>That technical ministries will be willing to participate in the information exchange system.</p> <p>That each technical ministry will establish an effective project evaluation unit.</p>

BEST AVAILABLE COPY

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**PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK**

Life of Project: \_\_\_\_\_  
 From FY \_\_\_\_\_ to FY \_\_\_\_\_  
 Total U. S. Funding \_\_\_\_\_  
 Date Prepared: \_\_\_\_\_

Project Title & Number: Evaluation Assistance Project (683-0229)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Inputs: (AID)            Long-term technical assistance            Short-term technical assistance            Commodities, maintenance, fuel            Long-term training in U.S.            Long and short term training in third countries            In-country seminars, workshops, and in-service training courses</p>	<p>Implementation Target            72 person months            24 person months            10 vehicles/office equipment (including mini computers)            6 person years            4 person years/20 person months            To be provided by 24 person months of short term technical assistance            2 long term technical personnel and possibly 2 long term World Bank economists and 1 PCV or Fulbright Fellow to be assigned to E.N.A., 1 PCV librarian/Archivist assigned to Ministry of Plan.</p>	<p>Project records</p>	<p>Assumptions for providing inputs:            That AID is able to identify and recruit technically qualified long and short term French-speaking personnel for technical assistance positions.            That AID funding increments will be furnished according to plan and inputs can be provided on a timely basis</p>
		<p align="center"><i>BEST AVAILABLE COPY</i></p>	

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