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TO - AID/W TOAIB A 282

FROM - BANGKOK/RED
E.O. 11652; M/A

SUBJECT - RED Project Evaluation - Proposed Modification of Attachment A
to M. O. 1026.1

REFERENCE -

In accordance with M.O. 1026.1 RED submits the following modified evaluation procedures and PAR format for AID/W approval. The guidelines have been developed with the assistance of a short-term consultant, Theodore B. Slattery under contract to RED (Contract No. AID 490-24).

Appendix A sets forth the indicators which have been identified as applicable to the evaluation of regional projects. While the list is not exhaustive, it provides adequate indicators for initial evaluations and shall be supplemented periodically.

Appendix B is the first evaluation completed by RED utilizing the new format: Makong Ports and Cargo Handling, Project No. 498-11-995-206.

RED requests that AID/W review the proposed procedures and format and approval their use for RED project evaluations.

Attachments

KINTNER

USOM
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PAGE 1 OF 28 PAGES

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PREFACE

These guidelines have been developed to adapt the existing philosophy/guidelines of AID bilateral project evaluation to RED's multilateral regional projects. They draw upon the basic concepts and principles spelled out in these guidelines and take into account RED's different mode of operation and the inherently unique characteristics of the majority of its projects. They are primarily designed to be of value to the RED office as an on-going management tool and to provide feedback for future projects and activities.

The following basic AID documents provide the fundamental structure for these guidelines:

- AID MO 1305.1.1 Project Management Handbook
- AID MO 1026.1 Evaluation of Technical Assistance and other non-capital projects

- AID MO 1026.1
Supplement I Project Evaluation Guidelines
- Supplement II Evaluation Handbook
- Supplement III Project Evaluation Workbook

- AID Document The Logical Framework - Modifications based on Experience

An effort has been made to use the existing evaluation terminology of the above documents in this adaptation.

SUMMARY

Because of the nature of RED's operations, the standard AID evaluation procedures and PAR format established in M.O. 1026.1 and supplements are not completely applicable to a RED project appraisal. This paper presents a proposed modification of these existing procedures to better adapt them to RED multilateral projects.

RED believes that the principles of evaluation as described in AID's Evaluation Handbook are sound. They have therefore been incorporated where appropriate, into a proposed two part evaluation procedure designed to allow in-depth evaluation of RED's project for management purposes. Before describing this modified evaluation procedure, it is well to review RED's purpose, its philosophy of operation and project selection criteria. An evaluation procedure that neglects these points will not serve any useful purpose in providing a RED decision-maker sufficient information for managing on-going projects or for developing new ones.

RED's Goal

RED's goal is to assist regional cooperation among the nations of Southeast and East Asia in seeking common solutions to their often common problems related to economic/ social development. In this role, RED works primarily through Asian regional institutions by providing financial support and technical assistance in solving these problems. RED support varies with the maturity of the project; most new innovative ideas need infusions of both

ideas need infusions of both types of support to get started and less as regional interest develops and results become evident. The creation of regional problem oriented and self-sustaining institutions--managed, and staffed by regional experts and eventually fully financed by the region is one of two major purposes of RED. The other purpose of RED is the development of a cadre of "regional professionals" who are convinced as to the benefits of regionalism and who participate actively in promoting it.

As the institutions and organizations that RED has sponsored begin to mature and become self-sustaining, RED's future purpose will also change in emphasis from institution building to helping these maturing organizations establish new programs and closer working ties among themselves and international institutions through specifically applied grants and loans to encourage these linkages.

In addition, RED, as a result of its close working relationships with these institutions, is in a unique position to capitalize on their combined capabilities and resources to solve inter-disciplinary regional problems. This can be done by creating and/or supporting high priority regional projects that require the pooling of resource of these institutions. This approach also encourages increased regional cooperation and the more effective use of the region's limited manpower, while at the same time solving problems impeding regional development.

Feedback of results from mature institutions which RED initially helped fund but which now are self-sustaining is a critical component of RED's on-going work so that lessons learned can be factored into basic decisions on new projects and validate the effectiveness of the overall RED concept.

Short term feasibility studies and research projects such as EARP (East Asia Research Project) can play an increased role in identifying and structuring specific inter-disciplinary or interorganizational activities.

RED Criteria for Project Selection

Based on the above broad goal RED selects projects (within AID/W's general policy guidelines) based on the following criteria (not necessarily in order of importance).

- a. Commonality/criticalness of problem to region.
- b. Timeliness
- c. Potential multiplier effect of solution (impact on region)
- d. Degree of Asian initiative shown (i.e., willingness to provide support in cash/kind).
- e. Degree of international interest and support shown.
- f. Relationship of problem for future regional development in AID priority areas.
- g. Assurance that an institutional type of project can become self

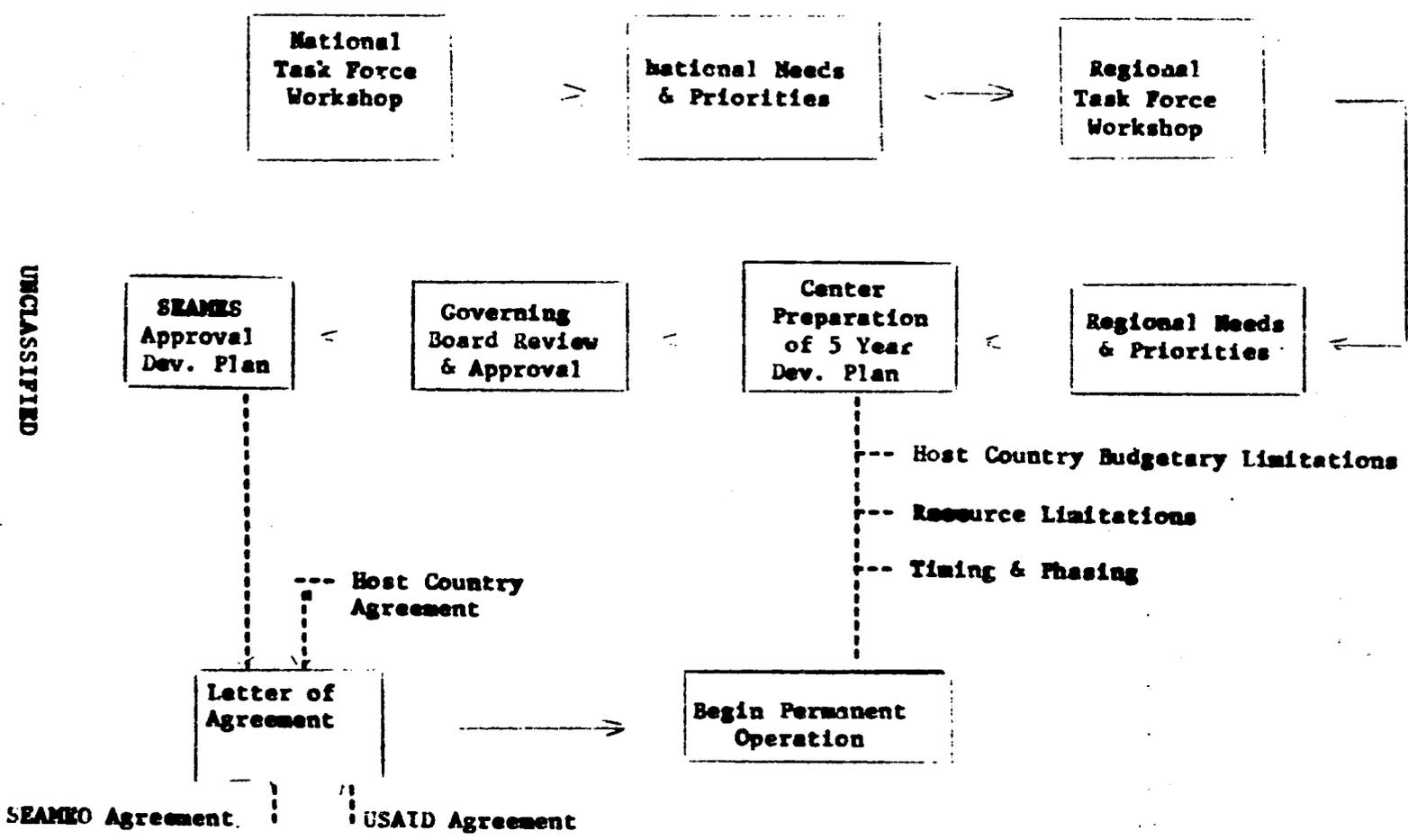
- sustaining after an initial period of external support.
- h. Assurance that results of a specific problem oriented project are applied throughout the region.
 - i. Regional institution building/strengthening without unplanned overlap or duplication with other organizations.
 - j. Potential benefits to other activities/organizations in the region.
 - k. Appraisal of political sensitivity.

Project Planning and the Evaluation Component

As emphasized in the AID Evaluation Handbook, project evaluation should be an integral part of initial project planning (design). Most of the projects currently supported by RED followed a logical procedure in planning that started with identification of broad goals, common regional problems within the framework of those goals, priorities, courses of action and timing; and resources available or required to accomplish the goals. The following flow chart shows the major steps involved in a typical SEAMEO Center becoming operational.

FIG - I

FLOW CHART OF TYPICAL SEAMEO CENTER DEVELOPMENT



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This chart shows quite clearly why both RED's PROPs and its evaluation process must necessarily differ from a typical bilateral program. In this example, the key document-- a Center's Five Year Development Plan -- has gone through several critical evaluations in its evolution; it reflects the SEAMEC/AID approved goals of the Center as translated into specific activities and it sets forth inputs/outputs relative to these goals. Hence the Development or Operation Plan, prepared by Asian professionals usually with RED technical assistance, becomes the basic vehicle against which to evaluate results, rather than a PROP. These usually contain quantitative indicators against which the project can be evaluated. Other subjective indicators, peculiar to the individual project are also included or can be identified. In terms of RED's evaluation procedure, this generally results in many more indicators* than on a bilateral project and many more levels and varieties of responsibility of important action agencies. The PAR concept is still valid but its application within the standard PAR format thus becomes more difficult, although of course it still can be done.

RED Project Evaluation

With the preceding background we can now discuss RED's proposed project evaluation procedures within the proper context.

Per the guidelines RED sees three levels of evaluation as a regional project evolves and each of these levels require a different depth of evaluation:

1. During the early phases of a new project to insure that tasks are relevant to the project purpose (relevance of purpose to programmed goals should already have been verified). During this period, additional indicators can usually be added, if they are not already present in the Development Plan, Operation Plan or PROP. At this time it is important to begin to establish a data base to simplify future PARs.
2. Periodic evaluation (ideally at the conclusion of key phases) of the project after it becomes operational. This would generally be brief, updating information since the previous PAR.
3. End of project evaluation which should occur at the time U.S. funds are no longer used (not just committed). On major projects, RED would normally do this evaluation in depth, collaborating with host country and regional personnel and insuring that feedback of results was made to all involved parties. Ideally, subsequent evaluations should be held, perhaps for several years after U.S. support ended, to insure that the U.S. investment not only met but sustained the project purpose and the broader program goals. The actual evaluation procedure as proposed consists of two sections:

Section I. A structured narrative write-up per the outline attached. This puts the project in proper perspective before the interested party (primarily the RED Director) reads the actual evaluation results. RED believes such documentation is necessary both to provide a sufficient data base from which to make intelligent management decisions as well as to provide a complete permanent record of the project.

* See Appendix A

This narrative need not be lengthy except where a project has not been evaluated before.

Section 2. This consists of a set of the standard AID PAR sheets modified to fit the regional nature of RED's projects. Together with Section 1 this provides the necessary information for project management in a logical sequence. Page 1 of the standard PAR has been modified slightly. Page 2 has been replaced with a matrix which permits appraisal of a mix of several action agencies vs. many indicators.

It should be noted that RED believes a 1 to 10 scale rating for so many indicators requiring a subjective judgment is not practical. We have used the same three performance ratings:

- U. Unsatisfactory. Must be footnoted as to why.
- S. Satisfactory. Key points should be footnoted or cross-referenced to textual material.
- O. Outstanding. Must be footnoted as to why.

If these are adequately footnoted per the instructions on the sheet they will provide sufficient evaluative information.

The relevant indicators will be selected from the list in Appendix A and factored into future RED PROPs as well as used for PARs. On existing PROPs, Operation Plans and Development Plans where such indicators may not be explicitly spelled out, the appropriate ones will be chosen for the PAR by the Evaluation Officer and Project Manager. The four general classifications of indicators on that table fit all of RED's present projects.

Page 3 of the standard PAR has been left as is and page 4 has been eliminated, since its relevant contents have been incorporated into Part 1 - narrative write-up. Appendix B gives an example of this overall approach as applied to one of RED's more simple on-going projects -- namely the Mekong Rafts and Ports project.

Evaluation Methods

The process of preparing future PARs will be as follows:

1. Preparation of an annual evaluation plan and schedule by the RED Evaluation Officer.
2. Joint drafting of the PAR by the Evaluation Officer and RED Project Officer and after a review with key Asian institutions involved. For example, a review of a SEAMEO Center should ideally involve the Center Director and SEAMES.
3. Review of the draft PAR by RED Director or Deputy Director and ideally by the Asian most directly involved (e.g. Center Director).

4. Joint discussions on action items, timing and phasing and follow-up requirements.

5. Appraisal of how PAR data will be factored into future RED planning and PROPs.

OUTLINE FOR
PART I
NARRATIVE SECTION OF MED PROJECT APPRAISAL

- I. SUMMARY (Include method of PAR preparation and Organizations involved)
- II. PROGRAM GOALS
- III. PROJECT PURPOSE
- IV. PROJECT HISTORY TO DATE OF PAR (Or from last PAR)
- V. A. EVALUATION PROCEDURES, SOURCES OF DATA, ORGANIZATIONS INVOLVED
B. SELECTION OF INDICATORS
- VI. CURRENT PROJECT STATUS (As of date of PAR)
- VII. PROBLEMS ENCOUNTERED AND ISSUES TO BE RESOLVED (Include potential future problems)
- VIII. TRANSFERABLE LESSONS LEARNED
- IX. NEW ACTIONS REQUESTED AS RESULT OF THIS APPRAISAL

**REGIONAL PROGRAMS
PROJECT APPRAISAL REPORT (PAR)**

1. Project Number	2. PAR for period to	3. PAR Serial No.	4. Date of PAR
5. Project Title			
6. Basis for Appraisal (Center Dev. Plan, OP Plan, PROP, etee)		7a. Date of Basic Document:	_____
		7b. Date Letter of Agreement:	_____
8. Project Duration: Beginning date:		Ending date:	9. Date Prior PAR
10. Funding \$US	a. Cumulative Oblig. through prior FY	b. Current FY Estimated Budget	c. Estimated Budget to complete after
US			
Other Donors			
Total			
11. New Actions Requested As Result of This Appraisal			
a. Action Agent	b. Necessary Actions (add extra sheet if necessary)	c. Due Date Follow-up Date	
12. Name (Typed)	Project Manager	Evaluation Officer	Director, RED
Signature			
Date			

EVALUATION OF PERFORMANCE VS. OBLIGATIONS OF ACTION AGENTS

ACTION
AGENCY

ADMIN/
MANAGEMENT

MONITORING/
CONTROL

TECHNICAL/ PROFESSIONAL

INSTITUTION
BUILDING

INDICATORS

General Remarks

FOOTNOTES

LEGEND

- U - UNSATISFACTORY
(footnote Reasons)
- S - SATISFACTORY
(Note ways to improve)
- O - OUTSTANDING
(Footnote reason)

Leave Black Blank if not
Applicable

PROJECT NO.

PAR FOR PERIOD

COUNTRY

PAR SERIAL NO.

PAGE 3 PAR

III. KEY OUT PUT INDICATORS AND TARGETS

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (percentage Rate Amount)					END OF PROJECT
		CUMU- VATIVE PRIOR FY	CURRENT FY		FY ____	FY ____	
			TO DATE	TO END			
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
B. QUALITATIVE INDICA- TOR FOR MAJOR OUTPUTS	COMMENT :						
	COMMENT :						
	COMMENT :						
	COMMENT :						
	SUMMARY OF COMMENT						

APPENDIX A
PROPOSED RED PROJECT EVALUATION GUIDELINES

PRELIMINARY LISTING OF INDICATORS FOR RED PROGRAM EVALUATIONSGeneral

In the majority of RED's projects there are several different funding/administrative/control/monitoring levels, comprised of several different external organizations that have considerable influence on the Asian institution/organization but over which it has little or no control. The earlier figure on page 5 shows such a case for a SEAMES project. For this reason the following indicators have been categorized (A&B headings) so that these external influences can be evaluated as to their impact on the institution/organization. Internal factors over which the institution/organization does have control are then categorized under the two major "C" and "D" heading: "Professional/Technical" and "Regional Institution Building". Depending on the specific project, either or both headings may be used or they may be combined. The RED Project Leader and the Evaluation Officer, with inputs from their Asian counterparts, should select the relevant indicators (or add new ones) on page 2 of the PAR from based on the specific project under evaluation. In addition the most relevant quantitative indicators should be used on page 3 of the PAR form to measure progress vs. targets. In the PARs prepared to date using the new format, the four major headings have been used to summarize the key qualitative points in each heading. Generally these points should be related to the action requirements generated as a result of the PAR.

A. ADMINISTRATIVE/FINANCIAL/MANAGEMENT

These indicators are intended primarily for use in evaluating the external organizations that may have considerable control over the Asian institution/organization in terms of amount and timing of funds and support in general. Internal indicators related to administration/financial matters can also be included here to avoid duplication.

1. Project development process (PROP, LDA's, Develop. Plans, etc)
2. Fund dispersal
3. Fund accounting, reporting, auditing
4. Review and appraisal process
5. Timeliness
6. Evaluation and feedback procedures
7. Long range Planning and Budgeting
8. Communications, cooperation and information exchange
9. Leadership guidance
10. Commodities control procedures

B. MONITORING AND CONTROL

These indicators are also intended primarily for use in evaluating the external organizations that control and support the projects. The Asian institution/organization generally has little control over these activities but must necessarily provide adequate inputs. Internal monitoring and control indicators can also be listed here or in Section IV - INSTITUTION BUILDING.

1. Existence of plan for monitoring/control
2. Adequacy of plan
3. Progress reporting to donor agencies, etc.
4. Expenditures vs. budget
5. External evaluation/acting/feedback
6. Initiative and forward planning for contingencies.

C. PROFESSIONAL/TECHNICAL PROGRAMS

These indicators deal with the substantive content of the project or programs of the institution being evaluated. They have been separately categorized (from Institution Building) but could be combined under that category if appropriate for a given project.

1. Quality of Overall Professional Plan/Programs.
2. Number, quality and adequacy of professional activities:
 - a. Instructional
 - b. Research
 - c. Clearing House and information systems
 - d. Other
3. Facilities/equipment vs. program needs
4. Quality of technical management/guidance
5. Creativity demonstrated
6. Impact - follow through on implementation of results
7. Built-in evaluation component and its effectiveness
8. Flexibility of programs and indication of alternative courses of action.

9. Multiplier effects (out-reach)
10. Physical facilities and equipment vs. program needs
11. Relevance of programs to regional/national development needs
12. Benefits vs. cost

D. REGIONAL INSTITUTION BUILDING

The majority of RED's PAR indicators internal to an institute/organization fall in this category. Here again those most appropriate indicators need to be chosen, based on the specific institution/organization involved. They are categorized into three groups as follows:

General

1. Existence of approved charter and long range plan
2. Degree of sensitivity of regional needs
3. Timeliness and potential multiplier effect of project activities
4. Regional/international reputation and recognition
5. Impact of programs on regions
6. Demonstrated political viability
7. Demonstrated survival capability
8. External support - regional and international
 - a. Funds
 - b. In kind
9. Linkages to other institutions/organizations
10. Internal fund generation capability
11. Degree of host country support/commitment

Staff

1. Leadership of Director/Key Staff
2.
 - a. Cooperation/communication inside/outside
 - b. Innovativeness/initiative

- c. Technical/Managerial capability
- d. Planning ability/creativity
2. Professional competence
3. Regional mix
4. Flexibility
5. Effectiveness in use of resources (funds, staff, equipment)
6. Existence of standard operating procedures for:
 - a. Fiscal matters
 - b. Salary scale and position descriptions
 - c. Staff review and promotion
 - d. Periodic professional program ~~monitor~~/evaluation
 - e. Facilities/equipment procurement, maintenance, repair procedures and records.

Participants (Scholars, interns, exchange students, etc.)

1. Number and regional mix vs. time
2. Quality
3. Number of unfilled scholarships
4. Dropout rate
5. Number and distribution of professional reports.
6. Professional quality of reports
7. Long term effect of program in terms of career, interests, changes in schooling, etc.
8. Number and type of services requested and performed.
9. Exchange program (extent/type/diversity)

APPENDIX B

**An example of the proposed RED Evaluation Guidelines applied to PROJECT
No. 498-11-995-206: MEKONG PORTS AND CARGO HANDLING.**

Evaluation of Mekong Ports and Ramps
RED PROJECT No. 498-11-995-206

INDEX

- I. SUMMARY
- II. PROGRAM GOALS
- III. PROJECT PURPOSE
- IV. PROJECT HISTORY
- V. CURRENT PROJECT STATUS
- VI. PROBLEMS AND ISSUES TO BE RESOLVED
- VII. TRANSFERRABLE LESSONS LEARNED
- VIII. NEW ACTIONS REQUESTED AS RESULT OF PAR

Evaluation of Mekong Ports and Ramps

RED PROJECT NO. 498-11-995-206

PAR NO. 74-4

18 July, 1974

**EVALUATION OF MEKONG PORTS AND RAMPS
RED PROJECT NO. 498-11-995-206
July 18, 1974**

PART I**I. SUMMARY**

Since this evaluation is the first one to be conducted on this project, a detailed narrative description is included as Part I along with the project's evaluation forms (modified PAR per Part II) to provide the reader with a better perspective of project purpose, accomplishments, problems encountered and lessons learned.

The project does not have a PROP but is described in detail, in the Plan of Operation dated March 1, 1971. The Plan sets forth the obligations of each party and these serve as the major indicators against which to evaluate the project (page 2 of PAR form in Part II). This PAR was done completely in-house with the RED Project Manager, Evaluation Officer and Evaluation Consultant involved. Ideally a representative of the Mekong Coordinating Committee should have been involved.

II. PROGRAM GOALS

This project is one element in the overall plan of the Mekong Coordinating Committee for economic development of the Mekong Basin.

III. PROJECT PURPOSE

The purpose of this project is to provide a series of limited transportation and navigation improvements on the upper Mekong which would provide benefits to the people by making Mekong cross-haul and line-haul capabilities more efficient.

It consists of three parts:

1. Provision of port facilities for lateral river traffic at three Lao sites.
2. Upgrading of ferry ramps for cross river traffic at six sites (four in Laos and two in Thailand).
3. An input to the Mekong Coordinating Committee by the USG of U.S. \$55,000 worth of hydrographic equipment.

IV. PROJECT HISTORY

The Mekong River Ports and Cargo Handling Project is an outgrowth of a feasibility study completed by Transportation Consultants, Inc., Washington, D.C. (TCI) in July 1968. The work program proposed by TCI envisioned rather sophisticated transport facilities on the Mekong requiring capital investment of \$3,517,000.

In formulating a Mekong River port development program, RED did not believe that Laos (and Northern Thailand) could absorb levels of investment recommended by TCI, and in conjunction with the N

conjunction with the MCC sought to create a less costly program targeted to the immediate problem. In consequence, the previously noted Plan of Operation committed the USG to provide \$165,000 to finance materials' costs for ports and cargo ramp construction in Laos and Thailand. An additional \$55,000 was obligated to cover purchase and shipping of hydrographic equipment from the USA to be used for general survey work on the Mekong.

Ferry ramps were to be constructed at Savvanakhet, Thakhek, Pakse and Muang Kao in Laos, and at Nakorn Phanom and Mukdaharn in Thailand. In addition port facilities were to be built at Luang Prabang, Ban Houei Sai and Sayaboury in Laos. Per the Plan, the RLC would furnish all labor and equipment. The RTG, since it proposed to build its two ramps by contract, agreed to contribute \$17,100 to their construction.

Because the Plan was signed late in the construction year (1970-71), and because added work was required in the engineering phase, active building was not initiated until the 1971-1972 low-water season.

When port and ramp construction did begin, some ramps, i.e., Pakse and Muang Kao, moved ahead quickly because of aggressive leadership on the part of the Lao Public Works Project Supervisor who utilized funds on hand to pay labor when it could be used most advantageously on the presumption that project funds would be forthcoming. Minor additional work is required at these sites as will be noted subsequently.

Other ramps and ports, Thakhek and Savannakhet for example, moved more slowly due chiefly to lack of local initiatives. Work at Luang Prabang moved spasmodically, while the Sayaboury and Ban Houei Sai projects remained on paper only. In Thailand the privately contracted ramps constructed at Nakorn Phanom and Mukdaharn were completed in the low-water season.

The unstable situation in Laos hindered that country's construction program. This, plus poor communications, administration and cooperation at the national (Vientiane) level, slowed progress considerably. Specifically, the field people directly involved with construction came under control of the Roads and Bridges Directorate in Vientiane, while project responsibility rested with the Director of Hydrography. Field office branches of Roads and Bridges therefore refused to accept direct instructions from the Hydraulic Directorate, which in turn would not cooperate with Roads and Bridges at the Vientiane level.

The Belgian Government assigned to Laos a civil engineer to work under the direction of the MCC, who managed to help the program move ahead in spite of the difficult working environment.

While port and ramp construction progressed fitfully, prices of materials and P.O.I. increased rapidly. In 1972 the MCC, realizing it had inadequate funds to complete the work, requested \$50,000 additional funding from RED. The added funds were granted on February 20, 1973. The MCC was informed that these funds constituted the final contribution of the MCC to the Plan of Operation.

The Hydrographic Equipment ordered for the MCC under this project was received on schedule and in good condition. It is being properly used and maintained by the MCC.

V. CURRENT PROJECT STATUS

1. A progress report from the MCC dated April 5, 1974 is the latest report of on-site observations as regards Laotian ramps/ports. At that time work was underway at all ports and ramps, though slow in the cases of Luang Prabang, Sayaboury and Ban Houei Sai. Luang Prabang was visited in July 1974 and definitely cannot be finished before the rainy season. There is also high probability that the other two facilities cannot be completed before the rainy season.

2. A number of Laotian ports and ramps now almost completed, require additional work and materials to raise them to the quality level desired. For example:

Pakse Ramp

- a. Concrete part of ramps is above waterload.
- b. The embankment is not adequately protected up to stairs. MCC has presented a cost estimate of \$7,000 to finish or upgrade this ramp.

Muong Cao Ramp

Work necessary for the protection of the upstream bank has been slowed down due to a lack of fuel, which in turn hampers the traffic between Pakse and Muong Cao. The ramp is 20 meters longer than planned, and the high bank should be protected for the full length. MCC requests \$6,872 to do this.

1

Savannakhet Ramp

Nothing has been done toward improving this ramp as per the last MCC report* but work was expected to start about 15 March 1974. A 20 meter roadway extension has been planned since last year at an increase in cost of \$1,500.

Xiengkhai Ramp

Work proceeding normally and should be completed before the Mekong flood.

Ban Houei Sai Port Facility

Work is underway; however, the roadway will be 15 meters longer than planned, and an additional cost of \$3,410 is expected.

Grading was not done as specified in the construction plans and MCC has so notified the SIG public works sub-division of corrective measures necessary.

Sayaboury Port Facility

Lack of dynamite (for quarry stone) and cement are delaying this ramp. Heavy rollers are also needed. Here again the construction costs have increased, and \$4,418 has been added to the cost.

Luang Prabang Port Facility

As of 4 July 1974, work was proceeding with about 50% rip-rapping complete and crush rock for the roadbed in place but not graded or packed. Because work started in the middle of the reinforcing wall, rather than at the river end, which would have been logical in the dry season, it will be impossible to complete the rip-rapping or the roadbed this season.

3. In summary, an additional \$24,038 has been requested by the MCC to complete this project in Laos. The \$50,000 noted earlier will cover these added costs and most inflationary cost increases. It still leaves \$2,709 which the MCC will have to seek from other sources.

4. The MCC was contacted on July 16, 1974 as regards the present status of the two Thai ramps. It was learned that the Makorn Phnom ramp was now in full operation. The Makdaharn ramp, completed in the 1972 low water season, has not be used because an access bridge was needed. This bridge is now nearing completion.

VI. PROBLEMS AND ISSUES TO BE RESOLVED

As noted in Section V the ramps are slowly moving ahead and one could optimistically believe they could be completed in FY 1975.

The major problem, over which RED has little control, is the speed with which the Lao ramps/ports are completed and their quality. It is too early to assess the impact of the new coalition government on such things.

RED believes it should put no further funding into this project but that the MCC should use funds it has to insure completion of work in progress.

A second issue to be resolved is whether or not the Thai ramps did in fact improve cross river tonnage and whether the rates increased significantly as has been reported.

VII. UNAVOIDABLE LESSONS LEARNED

The Plan of Operations should have been more tightly drawn and schedules for each ramp and port spelled out in more detail so that RED and MCC would have had more of a hand in attempting to get work done. Nothing in the Plan or in subsequent papers indicates that Laos and Thailand have any responsibility to maintain these items in good repair once they are built. To protect future investments the obligating document spelling out agreements should cover such points. The fact that several ports and ramps were not built to specification, and that now further funding is required to complete them, means either that specifications were not adequate or that they were not monitored sufficiently. Frequency of monitoring of such projects should be costed out and made a part of future Plans of Operation or PROPs.

The Plan of Operation should have had evaluation indicators built into it so that evaluation could be done against finite yardsticks, (for example specifications as to quality of workmanship and materials were not included or cross referenced). As previously noted, the unstable social conditions existing in Laos contributed heavily to the delays

in construction and to assignments of low priorities to this work relative to alternative uses of RIG's limited resources. Political considerations should hence be factored into future PROPs.

VIII. NEW ACTIONS REQUESTED AS RESULT OF PART

The MCC will be requested to make a survey to determine: (a) the operational status of both ramps; (b) the degree of usage as compared with the old ramps; (c) tolls now charged as compared to the previous ones and (d) a general statement as to what degree, if any, the ramps have improved cross river traffic and (2) what their present condition is.

**REGIONAL PROGRAMS
PROJECT APPRAISAL REPORT (PAR)**

1. Project Number 498-11-995-206	2. PAR for period 7 Jan 71 to 1 Jul.74	3. PAR Serial No. 74-4	4. Date of PAR 18 July 74
5. Project Title Mekong River Ports & Cargo Handling			
6. Basis for Appraisal (Center Dev. Plan, OP Plan, PROP, etc.) Plan of Operation signed by USAID, MCC, RIG, RRG, RVG, RKG.		7a. Date of Basic Document: 1 March 1971	7b. Date Letter of Agreement:
8. Project Duration Beginning date: 1971 Ending date: 1975		9. Date Prior PAR <u>NONE</u>	
10. Funding \$US	a. Cumulative Oblig. through prior FY	b. Current FY Estimated Budget	c. Estimated Budget to complete after FY
US	265,870	- 0 -	
Other Donors	(17,100 Thailand)	- 0 -	
Total	282,970	- 0 -	
11. New Actions Requested As Result of This Appraisal			
a. Action Agent	b. Necessary Actions (add extra sheet if necessary)	c. Completion Follow-up date Date	
MCC/RED	MCC to make a survey to determine: a) operational status of both ramps b) the degree of usage as compared with the old ramps c) Tolls now changed as compared to the previous ones d) to what degree, if any, the ramps have have improved cross river traffic e) present condition of ramps	July 1, 1975	December, 1974 and July, 1975
12. Name (typed)	Project Manager	Evaluation Officer	Director, RED
Signature	Departed Post		

Date - August 19, 1974

EVALUATION OF PERFORMANCE VS OBLIGATIONS OF ACTION AGENTS

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ACTION AGENCY	Administrative Management										Schedule & Monitoring					Technical					Other						
	Run Admin. Reports	Admin. Reports	Approval Process	Control of Inventory	Process Reports	Follow-up	Contracting	Procedure & Follow-up	Funds at all levels	Spec. Equip. Schedule	Work Progress VS Schedule	Review of Schedule	Spec. & Approval	Required Equip. Materials	Develop Plans & Approval	Prepare Surveys	Provide all Equipment	Cover Labor Costs	Provide Material	Insure High Quality Construction per Specs.	Personnel Technical Quality	Support Work Provided	Provision for Free Ex/Im of Materials	Leadership Cooperation & Communication Initiative			
USAID/WASH	S	S																									
USAID/RED	S	S	S							S														S	S		
MEKONG COMM.	S	S	S	S	S	S	S	S	S	U					S	S	S	S	S								
MEKONG SEC		S		S																							
ROYAL LAO GOV.	U ¹	S		U ¹		U ¹		U ¹	U ¹	U ¹	S	S	U ¹	U ¹	U ¹	U ¹	U ¹	U ¹	S	S	U ¹	U ¹	U ¹				
ROYAL THAI GOV		S ³		S	S						S	S							S	S	S	S					
OTHER DONORS																									S ²	S	
USAID/IAOS	S										S					S	S	S	S	S							
GOV. BELGIUM			S	S		S									S				S	S	S						

UNCLASSIFIED

FOOTNOTES

- (1) The RLG has been given so many unsatisfactories because of the following: Inability of Directorates to cooperate and communicate at Vientiane Level engendered uncertainty and indecision at field level. Failure to provide funding and equipment on schedule caused much delay. Inability to schedule operational equipment and poor leadership. Ramps were also not made to specs and now require extra work.
- (2) Belgium expert did much to keep the Laotian projects moving.
- (3) A delay of 2 months in Thailand's formal signing of the Plan of Operation caused loss of a season in construction because of the onset of the rainy period.

LEGEND

- U - Unsatisfactory (Footnote Reasons)
- S - Satisfactory (Note ways to improve when appropriate)
- O - Outstanding (Footnote Reasons)
- Leave Blank Black if not Applicable

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PAGE 3 PAR	Project No.	PAR for period	PAR Serial No.
------------	-------------	----------------	----------------

III KEY OUTPUT INDICATORS AND TARGETS NO. of ramps/dollars

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (Percentage/Rate/Amount)					END OF PROJECT
		CUMULATIVE PRIOR FY	CURRENT FY		FY 75	FY 76	
			TO DATE	TO END			
THAILAND Completed construction of ramps/ports consistent with design objectives, materials provided and number specified in schedule	PLANNED	2					2
	ACTUAL PERFORMANCE	0	2				
	REPLANNED						
LAOS Completed construction of ramps/ports consistent with design objectives, materials provided and numbers specified in schedule	PLANNED	7					7
	ACTUAL PERFORMANCE	0	0				
	REPLANNED			0	7		7
Navigational/Aids Delivered by US in terms of Dollars worth of equipment	PLANNED	\$55,000					
	ACTUAL PERFORMANCE	\$55,000					
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
B. QUALITATIVE INDICATORS FOR MAJOR OUTPUTS	COMMENT:						
1. Quality of construction and adherence to specifications.	RLG has not followed design specifications which has resulted in work or increase of costs because of extra work. RTG ramps appear to be adequate at present.						
2. Schedule	COMMENT: Neither country met the schedule called for in the Plan of Operation						
3. Reduced turn around time of ramps are used and increased traffic	COMMENT: This is an apparent benefit but has not been measured. MCC has been requested to provide data.						
4. Increased costs of cross river hauls	COMMENT: The private company operating the Thai ramps has been rumored to have increased rates. This coupled with decreased turn-around time helps the company but not the people it is supposed to serve. MCC has been asked to verify.						
5. Monitoring and review of progress	COMMENT: The fact that the ramps have been so late indicates a need for tightening inspection and fund reimbursement procedures on part of MCC.						

AIRGRAM

DEPARTMENT OF STATE

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For each address check one ACTION | INFO

DATE REC'D.

TO - AID/W TOAID A 282

7
DISTRIBUTION
ACTION

INFO.

MAIL
ROOM
35W

FROM - BANGKOK/RED
E.O. 11652: W/A

DATE SENT
8-21-74

SUBJECT - RED Project Evaluation - Proposed Modification of Attachment A
to M. O. 1026.1

REFERENCE -

In accordance with M.O. 1026.1 RED submits the following modified evaluation procedures and PAR format for AID/W approval. The guidelines have been developed with the assistance of a short-term consultant, Theodore B. Slattery under contract to RED (Contract No. AID 490-24).

Appendix A sets forth the indicators which have been identified as applicable to the evaluation of regional projects. While the list is not exhaustive, it provides adequate indicators for initial evaluations and shall be supplemented periodically.

Appendix B is the first evaluation completed by RED utilizing the new format: Makong Ports and Cargo Handling, Project No. 498-11-995-206.

RED requests that AID/W review the proposed procedures and format and approve their use for RED project evaluations.

Attachments

KINTNER

USOM
D
DD
O/PROG
L
M/CSO
M/CR

PAGE 1 OF 28 PAGES

DRAFTED BY RED:NTunavick:ru	OFFICE RED	PHONE NO. 291	DATE 8/19/74	APPROVED BY: Harry J. Petroquin
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A. I. D. AND OTHER CLEARANCES

RED:ERogers
RHalligan

AMB, ADCM, EA, RED-6: FILES, USOM/AID
RED-20

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PREFACE

These guidelines have been developed to adapt the existing philosophy/guidelines of AID bilateral project evaluation to RED's multilateral regional projects. They draw upon the basic concepts and principles spelled out in these guidelines and take into account RED's different mode of operation and the inherently unique characteristics of the majority of its projects. They are primarily designed to be of value to the RED office as an on-going management tool and to provide feedback for future projects and activities.

The following basic AID documents provide the fundamental structure for these guidelines:

- | | |
|-----------------|---|
| AID MO 1305.1.1 | Project Management Handbook |
| AID MO 1026.1 | Evaluation of Technical Assistance and other non-capital projects |
| AID MO 1026.1 | |
| Supplement I | Project Evaluation Guidelines |
| Supplement II | Evaluation Handbook |
| Supplement III | Project Evaluation Workbook |
| AID Document | The Logical Framework - Modifications based on Experience |

An effort has been made to use the existing evaluation terminology of the above documents in this adaptation.

SUMMARY

Because of the nature of RED's operations, the standard AID evaluation procedures and PAR format established in M.O. 1026.1 and supplements are not completely applicable to a RED project appraisal. This paper presents a proposed modification of these existing procedures to better adapt them to RED multilateral projects.

RED believes that the principles of evaluation as described in AID's Evaluation Handbook are sound. They have therefore been incorporated where appropriate, into a proposed two part evaluation procedure designed to allow in-depth evaluation of RED's project for management purposes. Before describing this modified evaluation procedure, it is well to review RED's purpose, its philosophy of operation and project selection criteria. An evaluation procedure that neglects these points will not serve any useful purpose in providing a RED decision-maker sufficient information for managing on-going projects or for developing new ones.

RED's Goal

RED's goal is to assist regional cooperation among the nations of Southeast and East Asia in seeking common solutions to their often common problems related to economic/social development. In this role, RED works primarily through Asian regional institutions by providing financial support and technical assistance in solving these problems. RED support varies with the maturity of the project; most new innovative ideas need infusions of both

ideas need infusions of both types of support to get started and less as regional interest develops and results become evident. The creation of regional problem oriented and self-sustaining institutions--managed, and staffed by regional experts and eventually fully financed by the region is one of two major purposes of RED. The other purpose of RED is the development of a cadre of "regional professionals" who are convinced as to the benefits of regionalism and who participate actively in promoting it.

As the institutions and organizations that RED has sponsored begin to mature and become self-sustaining, RED's future purpose will also change in emphasis from institution building to helping these maturing organizations establish new programs and closer working ties among themselves and international institutions through specifically applied grants and loans to encourage these linkages.

In addition, RED, as a result of its close working relationships with these institutions, is in a unique position to capitalize on their combined capabilities and resources to solve inter-disciplinary regional problems. This can be done by creating and/or supporting high priority regional projects that require the pooling of resource of these institutions. This approach also encourages increased regional cooperation and the more effective use of the region's limited manpower, while at the same time solving problems impeding regional development.

Feedback of results from mature institutions which RED initially helped fund but which now are self-sustaining is a critical component of RED's on-going work so that lessons learned can be factored into basic decisions on new projects and validate the effectiveness of the overall RED concept.

Short term feasibility studies and research projects such as EARP (East Asia Research Project) can play an increased role in identifying and structuring specific inter-disciplinary or interorganizational activities.

RED Criteria for Project Selection

Based on the above broad goal RED selects projects (within AID/W's general policy guidelines) based on the following criteria (not necessarily in order of importance).

- a. Commonality/criticalness of problem to region.
- b. Timeliness
- c. Potential multiplier effect of solution (impact on region)
- d. Degree of Asian initiative shown (i.e., willingness to provide support in cash/kind).
- e. Degree of international interest and support shown.
- f. Relationship of problem for future regional development in AID priority areas.
- g. Assurance that an institutional type of project can become self

sustaining after an initial period of external support.

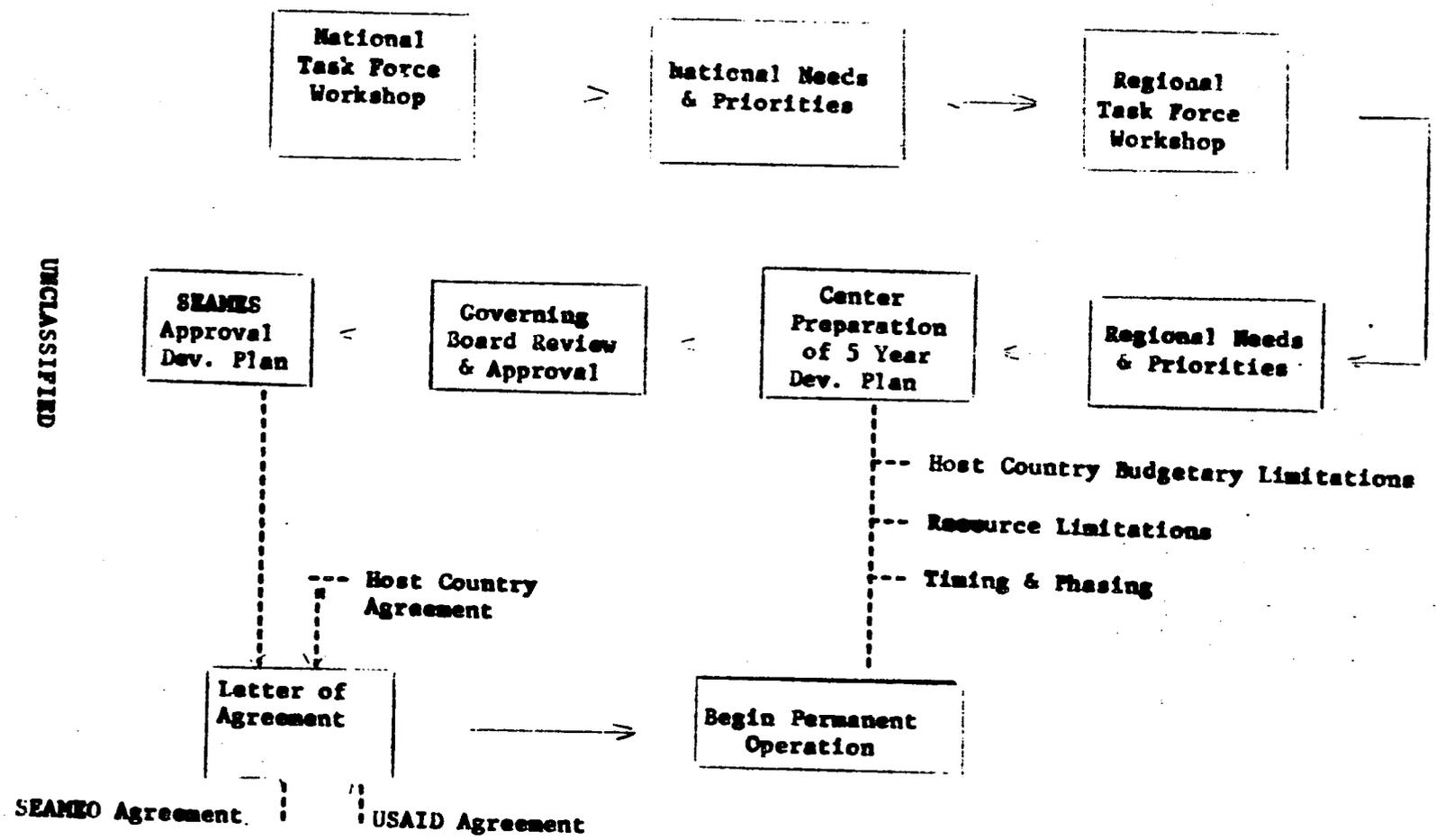
- h. Assurance that results of a specific problem oriented project are applied throughout the region.
- i. Regional institution building/strengthening without unplanned overlap or duplication with other organizations.
- j. Potential benefits to other activities/organizations in the region.
- k. Appraisal of political sensitivity.

Project Planning and the Evaluation Component

As emphasized in the AID Evaluation Handbook, project evaluation should be an integral part of initial project planning (design). Most of the projects currently supported by RED followed a logical procedure in planning that started with identification of broad goals, common regional problems within the framework of those goals, priorities, sources of action and timing; and resources available or required to accomplish the goals. The following flow chart shows the major steps involved in a typical SEAMEO Center becoming operational.

FIG - I

FLOW CHART OF TYPICAL SEAMEO CENTER DEVELOPMENT



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This chart shows quite clearly why both RED's PROPs and its evaluation process must necessarily differ from a typical bilateral program. In this example, the key document-- a Center's Five Year Development Plan -- has gone through several critical evaluations in its evolution; it reflects the SEAMEC/AID approved goals of the Center as translated into specific activities and it sets forth inputs/outputs relative to these goals. Hence the Development or Operation Plan, prepared by Asian professionals usually with RED technical assistance, becomes the basic vehicle against which to evaluate results, rather than a PROP. These usually contain quantitative indicators against which the project can be evaluated. Other subjective indicators, peculiar to the individual project are also included or can be identified. In terms of RED's evaluation procedure, this generally results in many more indicators* than on a bilateral project and many more levels and varieties of responsibility of important action agencies. The PAR concept is still valid but its application within the standard PAR format thus becomes more difficult, although of course it still can be done.

RED Project Evaluation

With the preceding background we can now discuss RED's proposed project evaluation procedures within the proper context.

Per the guidelines RED sees three levels of evaluation as a regional project evolves and each of these levels require a different depth of evaluation:

1. During the early phases of a new project to insure that tasks are relevant to the project purpose (relevance of purpose to programmed goals should already have been verified). During this period, additional indicators can usually be added, if they are not already present in the Development Plan, Operation Plan or PROP. At this time it is important to begin to establish a data base to simplify future PARs.
2. Periodic evaluation (ideally at the conclusion of key phases) of the project after it becomes operational. This would generally be brief, updating information since the previous PAR.
3. End of project evaluation which should occur at the time U.S. funds are no longer used (not just committed). On major projects, RED would normally do this evaluation in depth, collaborating with host country and regional personnel and insuring that feedback of results was made to all involved parties. Ideally, subsequent evaluations should be held, perhaps for several years after U.S. support ended, to insure that the U.S. investment not only met but sustained the project purpose and the broader program goals. The actual evaluation procedure as proposed consists of two sections:

Section I. A structured narrative write-up per the outline attached. This puts the project in proper perspective before the interested party (primarily the RED Director) reads the actual evaluation results. RED believes such documentation is necessary both to provide a sufficient data base from which to make intelligent management decisions as well as to provide a complete permanent record of the project.

* See Appendix A

This narrative need not be lengthy except where a project has not been evaluated before.

Section 2. This consists of a set of the standard AID PAR sheets modified to fit the regional nature of RED's projects. Together with Section 1 this provides the necessary information for project management in a logical sequence. Page 1 of the standard PAR has been modified slightly. Page 2 has been replaced with a matrix which permits appraisal of a mix of several action agencies vs. many indicators.

It should be noted that RED believes a 1 to 10 scale rating for so many indicators requiring a subjective judgment is not practical. We have used the same three performance ratings:

- U. Unsatisfactory. Must be footnoted as to why.
- S. Satisfactory. Key points should be footnoted or cross-referenced to textual material.
- O. Outstanding. Must be footnoted as to why.

If these are adequately footnoted per the instructions on the sheet they will provide sufficient evaluative information.

The relevant indicators will be selected from the list in Appendix A and factored into future RED PROPs as well as used for PARs. On existing PROPs, Operation Plans and Development Plans where such indicators may not be explicitly spelled out, the appropriate ones will be chosen for the PAR by the Evaluation Officer and Project Manager. The four general classifications of indicators on that table fit all of RED's present projects.

Page 3 of the standard PAR has been left as is and page 4 has been eliminated, since its relevant contents have been incorporated into Part 1 - narrative write-up. Appendix B gives an example of this overall approach as applied to one of RED's more simple on-going projects -- namely the Mekong Ramps and Ports project.

Evaluation Methods

The process of preparing future PARs will be as follows:

1. Preparation of an annual evaluation plan and schedule by the RED Evaluation Officer.
2. Joint drafting of the PAR by the Evaluation Officer and RED Project Officer and after a review with key Asian institutions involved. For example, a review of a SEAMEO Center should ideally involve the Center Director and SEAMES.
3. Review of the draft PAR by RED Director or Deputy Director and ideally by the Asian most directly involved (e.g. Center Director).

4. Joint discussions on action items, timing and phasing and follow-up requirements.

5. Appraisal of how PAR data will be factored into future RED planning and PROPs.

OUTLINE FOR

PART I

NARRATIVE SECTION OF MED PROJECT APPRAISAL

- I. SUMMARY (Include method of PAR preparation and Organizations involved)
- II. PROGRAM GOALS
- III. PROJECT PURPOSE
- IV. PROJECT HISTORY TO DATE OF PAR (Or from last PAR)
- V. A. EVALUATION PROCEDURES, SOURCES OF DATA, ORGANIZATIONS INVOLVED
B. SELECTION OF INDICATORS
- VI. CURRENT PROJECT STATUS (As of date of PAR)
- VII. PROBLEMS ENCOUNTERED AND ISSUES TO BE RESOLVED (Include potential future problems)
- VIII. TRANSFERABLE LESSONS LEARNED
- IX. NEW ACTIONS REQUESTED AS RESULT OF THIS APPRAISAL

**REGIONAL PROGRAMS
PROJECT APPRAISAL REPORT (PAR)**

1. Project Number	2. PAR for period to	3. PAR Serial No.	4. Date of PAR
5. Project Title			
6. Basis for Appraisal (Center Dev. Plan, OP Plan, PROP, etc)		7a. Date of Basic Document:	
		7b. Date Letter of Agreement:	
8. Project Duration: Beginning date:		Ending date:	9. Date Prior PAR
10. Funding \$US	a. Cumulative Oblig. through prior FY	b. Current FY Estimated Budget	c. Estimated Budget to complete after
US			
Other Donors			
Total			
11. New Actions Requested As Result of This Appraisal			
a. Action Agent	b. Necessary Actions (add extra sheet if necessary)	c. Due Date Follow-up Date	
12. Name (Typed)	Project Manager	Evaluation Officer	Director, RED
Signature			
Date			

EVALUATION OF PERFORMANCE VS. OBLIGATIONS OF ACTION AGENTS

ACTION
AGENCY

ADMIN/
MANAGEMENT

MONITORING/
CONTROL

TECHNICAL/PROFESSIONAL

INSTITUTION
BUILDING

INDICATORS

General Remarks

FOOTNOTES

LEGEND

- U - UNSATISFACTORY
(footnote Reasons)
- S - SATISFACTORY
(Note ways to improve)
- O - OUTSTANDING
(Footnote reason)

Leave Black Blank if not
Applicable

PROJECT NO.

PAR FOR PERIOD

COUNTRY

PAR SERIAL NO.

PAGE 3 PAR

III. KEY OUT PUT INDICATORS AND TARGETS

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (percentage Rate Amount)					END OF PROJECT
		CUMU- VATIVE PRIOR FY	CURRENT FY		FY —	FY —	
			TO DATE	TO END			
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
B. QUALITATIVE INDICA- TOR FOR MAJOR OUTPUTS	COMMENT :						
	COMMENT :						
	COMMENT :						
	COMMENT :						
	SUMMARY OF COMMENT						

APPENDIX A

PROPOSED RED PROJECT EVALUATION GUIDELINES

PRELIMINARY LISTING OF INDICATORS FOR RED PROGRAM EVALUATIONS**General**

In the majority of RED's projects there are several different funding/administrative/control/monitoring levels, comprised of several different external organizations that have considerable influence on the Asian institution/organization but over which it has little or no control. The earlier figure on page 5 shows such a case for a SEAMES project. For this reason the following indicators have been categorized (A&B headings) so that these external influences can be evaluated as to their impact on the institution/organization. Internal factors over which the institution/organization does have control are then categorized under the two major "C" and "D" heading: "Professional/Technical" and "Regional Institution Building". Depending on the specific project, either or both headings may be used or they may be combined. The RED Project Leader and the Evaluation Officer, with inputs from their Asian counterparts, should select the relevant indicators (or add new ones) on page 2 of the PAR from based on the specific project under evaluation. In addition the most relevant quantitative indicators should be used on page 3 of the PAR form to measure progress vs. targets. In the PARs prepared to date using the new format, the four major headings have been used to summarize the key qualitative points in each heading. Generally these points should be related to the action requirements generated as a result of the PAR.

A. ADMINISTRATIVE/FINANCIAL/MANAGEMENT

These indicators are intended primarily for use in evaluating the external organizations that may have considerable control over the Asian institution/organization in terms of amount and timing of funds and support in general. Internal indicators related to administration/financial matters can also be included here to avoid duplication.

1. Project development process (PROP, LDA's, Develop. Plans, etc)
2. Fund dispersal
3. Fund accounting, reporting, auditing
4. Review and appraisal process
5. Timeliness
6. Evaluation and feedback procedures
7. Long range Planning and Budgeting
8. Communications, cooperation and information exchange
9. Leadership guidance
10. Commodities control procedures

B. MONITORING AND CONTROL

These indicators are also intended primarily for use in evaluating the external organizations that control and support the projects. The Asian institution/organization generally has little control over these activities but must necessarily provide adequate inputs. Internal monitoring and control indicators can also be listed here or in Section IV - INSTITUTION BUILDING.

1. Existence of plan for monitoring/control
2. Adequacy of plan
3. Progress reporting to donor agencies, etc.
4. Expenditures vs. budget
5. External evaluation/acting/feedback
6. Initiative and forward planning for contingencies.

C. PROFESSIONAL/TECHNICAL PROGRAMS

These indicators deal with the substantive content of the project or programs of the institution being evaluated. They have been separately categorized (from Institution Building) but could be combined under that category if appropriate for a given project.

1. Quality of Overall Professional Plan/Programs.
2. Number, quality and adequacy of professional activities:
 - a. Instructional
 - b. Research
 - c. Clearing House and information systems
 - d. Other
3. Facilities/equipment vs. program needs
4. Quality of technical management/guidance
5. Creativity demonstrated
6. Impact - follow through on implementation of results
7. Built-in evaluation component and its effectiveness
8. Flexibility of programs and indication of alternative courses of action.

9. Multiplier effects (out-reach)
10. Physical facilities and equipment vs. program needs
11. Relevance of programs to regional/national development needs
12. Benefits vs. cost

D. REGIONAL INSTITUTION BUILDING

The majority of RED's PAK indicators internal to an institute/organization fall in this category. Here again those most appropriate indicators need to be chosen, based on the specific institution/organization involved. They are categorized into three groups as follows:

General

1. Existence of approved charter and long range plan
2. Degree of sensitivity of regional needs
3. Timeliness and potential multiplier effect of project activities
4. Regional/international reputation and recognition
5. Impact of programs on regions
6. Demonstrated political viability
7. Demonstrated survival capability
8. External support - regional and international
 - a. Funds
 - b. In kind
9. Linkages to other institutions/organizations
10. Internal fund generation capability
11. Degree of host country support/commitment

Staff

1. Leadership of Director/Key Staff
2.
 - a. Cooperation/communication inside/outside
 - b. Innovativeness/initiative

- c. Technical/Managerial capability
- d. Planning ability/creativity
2. Professional competence
3. Regional mix
4. Flexibility
5. Effectiveness in use of resources (funds, staff, equipment)
6. Existence of standard operating procedures for:
 - a. Fiscal matters
 - b. Salary scale and position descriptions
 - c. Staff review and promotion
 - d. Periodic professional program ~~monitoring~~/evaluation
 - e. Facilities/equipment procurement, maintenance, repair procedures and records.

Participants (Scholars, interns, exchange students, etc.)

1. Number and regional mix vs. time
2. Quality
3. Number of unfilled scholarships
4. Dropout rate
5. Number and distribution of professional reports.
6. Professional quality of reports
7. Long term effect of program on terms of career, interests, changes in schooling, etc.
8. Number and type of services requested and performed.
9. Exchange program (extent/type/diversity)

APPENDIX B

**An example of the proposed RED Evaluation Guidelines applied to PROJECT
No. 498-11-995-206: MEKONG PORTS AND CARGO HANDLING.**

Evaluation of Mekong Ports and Ramps
RED PROJECT No. 498-11-995-206

INDEX

- I. SUMMARY
- II. PROGRAM GOALS
- III. PROJECT PURPOSE
- IV. PROJECT HISTORY
- V. CURRENT PROJECT STATUS
- VI. PROBLEMS AND ISSUES TO BE RESOLVED
- VII. TRANSFERRABLE LESSONS LEARNED
- VIII. NEW ACTIONS REQUESTED AS RESULT OF PAR

Evaluation of Mekong Ports and Ramps

RED PROJECT NO. 498-11-995-206

PAR NO. 74-4

18 July, 1974

EVALUATION OF MEKONG PORTS AND RAMPS
RED PROJECT NO. 498-11-995-206
July 18, 1974

PART I

I. SUMMARY

Since this evaluation is the first one to be conducted on this project, a detailed narrative description is included as Part I along with the project's evaluation forms (modified PAR per Part II) to provide the reader with a better perspective of project purpose, accomplishments, problems encountered and lessons learned.

The project does not have a PROP but is described in detail, in the Plan of Operation dated March 1, 1971. The Plan sets forth the obligations of each party and these serve as the major indicators against which to evaluate the project (page 2 of PAR form in Part II). This PAR was done completely in-house with the RED Project Manager, Evaluation Officer and Evaluation Consultant involved. Ideally a representative of the Mekong Coordinating Committee should have been involved.

II. PROGRAM GOALS

This project is one element in the overall plan of the Mekong Coordinating Committee for economic development of the Mekong Basin.

III. PROJECT PURPOSE

The purpose of this project is to provide a series of limited transportation and navigation improvements on the upper Mekong which would provide benefits to the people by making Mekong cross-haul and line-haul capabilities more efficient.

It consists of three parts:

1. Provision of port facilities for lateral river traffic at three Lao sites.
2. Upgrading of ferry ramps for cross river traffic at six sites (four in Laos and two in Thailand).
3. An input to the Mekong Coordinating Committee by the USG of U.S. \$55,000 worth of hydrographic equipment.

IV. PROJECT HISTORY

The Mekong River Ports and Cargo Handling Project is an outgrowth of a feasibility study completed by Transportation Consultants, Inc., Washington, D.C. (TCI) in July 1968. The work program proposed by TCI envisioned rather sophisticated transport facilities on the Mekong requiring capital investment of \$3,517,000.

In formulating a Mekong River port development program, RED did not believe that Laos (and Northern Thailand) could absorb levels of investment recommended by TCI, and in conjunction with the M

conjunction with the MCC sought to create a less costly program targeted to the immediate problem. In consequence, the previously noted Plan of Operation committed the USG to provide \$165,000 to finance materials' costs for ports and cargo ramp construction in Laos and Thailand. An additional \$55,000 was obligated to cover purchase and shipping of hydrographic equipment from the USA to be used for general survey work on the Mekong.

Ferry ramps were to be constructed at Savannakhet, Thakhek, Pakse and Muang Kao in Laos, and at Nakorn Phanom and Mukdaharn in Thailand. In addition port facilities were to be built at Luang Prabang, Ban Houei Sai and Sayaboury in Laos. Per the Plan, the RLG would furnish all labor and equipment. The RTG, since it proposed to build its two ramps by contract, agreed to contribute \$17,100 to their construction.

Because the Plan was signed late in the construction year (1970-71), and because added work was required in the engineering phase, active building was not initiated until the 1971-1972 low-water season.

When port and ramp construction did begin, some ramps, i.e., Pakse and Muang Kao, moved ahead quickly because of aggressive leadership on the part of the Lao Public Works Project Supervisor who utilized funds on hand to pay labor when it could be used most advantageously on the presumption that project funds would be forthcoming. Minor additional work is required at these sites as will be noted subsequently.

Other ramps and ports, Thakhek and Savannakhet for example, moved more slowly due chiefly to lack of local initiatives. Work at Luang Prabang moved spasmodically, while the Sayaboury and Ban Houei Sai projects remained on paper only. In Thailand the privately contracted ramps constructed at Nakorn Phanom and Mukdaharn were completed in one low-water season.

The unstable situation in Laos hindered that country's construction program. This, plus poor communications, administration and cooperation at the national (Vientiane) level, slowed progress considerably. Specifically, the field people directly involved with construction came under control of the Roads and Bridges Directorate in Vientiane, while project responsibility rested with the Director of Hydrography. Field office branches of Roads and Bridges therefore refused to accept direct instructions from the Hydraulic Directorate, which in turn would not cooperate with Roads and Bridges at the Vientiane level.

The Belgian Government assigned to Laos a civil engineer to work under the direction of the MCC, who managed to help the program move ahead in spite of the difficult working environment.

While port and ramp construction progressed fitfully, prices of materials and P.O.L. increased rapidly. In 1972 the MCC, realizing it had inadequate funds to complete the work, requested \$50,000 additional funding from RER. The added funds were granted on February 28, 1973. The MCC was informed that these funds constituted the final contribution of the USG to the Plan of Operation.

The Hydrographic Equipment ordered for the MCC under this project was received on schedule and in good condition. It is being properly used and maintained by the MCC.

V. CURRENT PROJECT STATUS

1. A progress report from the MCC dated April 5, 1974 is the latest report of on-site observations as regards Laotian ramps/ports. At that time work was underway at all ports and ramps, though slow in the cases of Luang Prabang, Sayaboury and Ban Houei Sai. Luang Prabang was visited in July 1974 and definitely cannot be finished before the rainy season. There is also high probability that the other two facilities cannot be completed before the rainy season.

2. A number of Laotian ports and ramps now almost completed, require additional work and materials to raise them to the quality level desired. For example:

Pakse Ramp

- a. Concrete part of ramps is above waterload.
- b. The embankment is not adequately protected up to stairs. MCC has presented a cost estimate of \$7,000 to finish or upgrade this ramp.

Muong Cao Ramp

Work necessary for the protection of the upstream bank has been slowed down due to a lack of fuel, which in turn hampers the traffic between Pakse and Muong Cao. The ramp is 20 meters longer than planned, and the high bank should be protected for the full length. MCC requests \$6,872 to do this.

Sayaboury Ramp

Nothing has been done toward improving this ramp as per the last MCC report* but work was expected to start about 18 March 1974. A 20 meter roadway extension has been planned since last year at an increase in cost of \$1,500.

Mekong Ramp

Work proceeding normally and should be completed before the Mekong flood.

Ban Houei Sai Port Facility

Work is underway; however, the roadway will be 15 meters longer than planned, and an additional cost of \$3,410 is expected.

Grading was not done as specified in the construction plans and MCC has so notified the RLC public works sub-division of corrective measures necessary.

Sayaboury Port Facility

Lack of dynamite (for quarry stone) and cement are delaying this ramp. Heavy rollers are also needed. Here again the construction costs have increased, and \$4,418 has been added to the cost.

Luang Prabang Port Facility

As of 4 July 1974, work was proceeding with about 50% rip-rapping complete and crush rock for the roadbed in place but not graded or packed. Because work started in the middle of the reinforcing wall, rather than at the river end, which would have been logical in the dry season, it will be impossible to complete the rip-rapping or the roadbed this season.

3. In summary, an additional \$24,038 has been requested by the MCC to complete this project in Laos. The \$50,000 noted earlier will cover these added costs and most inflationary cost increases. It still leaves \$2,709 which the MCC will have to seek from other sources.

4. The MCC was contacted on July 16, 1974 as regards the present status of the two Thai ramps. It was learned that the Nakorn Phanom ramp was now in full operation. The Makdaharn ramp, completed in the 1972 low water season, has not be used because an access bridge was needed. This bridge is now nearing completion.

VI. PROBLEMS AND ISSUES TO BE RESOLVED

As noted in Section V the ramps are slowly moving ahead and one could optimistically believe they could be completed in FY 1975.

The major problem, over which RED has little control, is the speed with which the Lao ramps/ports are completed and their quality. It is too early to assess the impact of the new coalition government on such things.

RED believes it should put no further funding into this project but that the MCC should use funds it has to insure completion of work in progress.

A second issue to be resolved is whether or not the Thai ramps did in fact improve cross river tonnage and whether the rates increased significantly as has been reported.

VII. TRANSFERABLE LESSONS LEARNED

The Plan of Operations should have been more tightly drawn and schedules for each ramp and port spelled out in more detail so that RED and MCC would have had more of a finger in attempting to get work done. Nothing in the Plan or in subsequent papers indicates that Laos and Thailand have any responsibility to maintain these items in good repair once they are built. To protect future investments the obligating document spelling out agreements should cover such points. The fact that several ports and ramps were not built to specification, and that now further funding is required to complete them, means either that specifications were not adequate or that they were not monitored sufficiently. Frequency of monitoring of such projects should be costed out and made a part of future Plans of Operation or similar.

The Plan of Operation should have had evaluation indicators built into it so that evaluation could be done against finite yardsticks, (for example specifications as to quality of workmanship and materials were not included or cross referenced). As previously noted, the unstable social conditions existing in Laos contributed heavily to the delays

in construction and to assignments of low priorities to this work relative to alternative uses of RIG's limited resources. Political considerations should hence be factored into future PROPs.

VIII. NEW ACTIONS REQUESTED AS RESULT OF PART

The MCC will be requested to make a survey to determine: (a) the operational status of both ramps; (b) the degree of usage as compared with the old ramps; (c) tolls now charged as compared to the previous ones and (d) a general statement as to what degree, if any, the ramps have improved cross river traffic and (2) what their present condition is.

PAGE 3 PAR	Project No.	PAR for period	PAR Serial No.
------------	-------------	----------------	----------------

III KEY OUTPUT INDICATORS AND TARGETS NO. of ramps/dollars

A. QUANTITATIVE INDICATORS FOR MAJOR OUTPUTS		TARGETS (Percentage/Rate/Amount)					END OF PROJECT
		CUMULATIVE PRIOR FY	CURRENT FY		FY 75	FY 76	
			TO DATE	TO END			
THAILAND Completed construction of ramps/ports consistent with design objectives, materials provided and number specified in schedule	PLANNED	2					2
	ACTUAL PERFORMANCE	0	2				
	REPLANNED						
LAOS Completed construction of ramps/ports consistent with design objectives, materials provided and numbers specified in schedule	PLANNED	7					7
	ACTUAL PERFORMANCE	0	0				
	REPLANNED			0	7		7
Navigational/Aids Delivered by US in terms of Dollars worth of equipment	PLANNED	\$55,000					
	ACTUAL PERFORMANCE	\$55,000					
	REPLANNED						
	PLANNED						
	ACTUAL PERFORMANCE						
	REPLANNED						
B. QUALITATIVE INDICATORS FOR MAJOR OUTPUTS	COMMENT: RTG has not followed design specifications which has resulted in work or increase of costs because of extra work. RTG ramps appear to be adequate at present.						
1. Quality of construction and adherence to specifications.	COMMENT: Neither country met the schedule called for in the Plan of Operation						
2. Schedule	COMMENT: This is an apparent benefit but has not been measured. MCC has been requested to provide data.						
3. Reduced turn around time when ramps are used and increased traffic	COMMENT: The private company operating the Thai ramps has been rumored to have increased rates. This coupled with decreased turn-around time helps the company but not the people it is supposed to serve. MCC has been asked to verify.						
4. Increased costs of cross river hauls	COMMENT: The fact that the ramps have been so late indicates a need for tightening inspection and fund reimbursement procedures on part of MCC.						
5. Monitoring and review of progress							

UNITED NATIONS



NATIONS UNIES

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PO-AD-965
Jm/pell

(Cy to P.K. Y/ESH/ME3)
(Cy to U.S.I./NO/K&R)

ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST
COMMITTEE FOR COORDINATION OF INVESTIGATIONS
OF THE LOWER MEKONG BASIN

CABLE : ECAFE BANGKOK

ECAFE 3p
SALA SANTITHAM
BANGKOK 2, THAILAND
TELEPHONE : 813844

MEKONG ANNEX
KASATSUK BRIDGE
BANGKOK 5, THAILAND
TELEPHONE : 817422

MP/A.815
TEC 322 (5-3)

3 April 1973

Dear Mr. St. Lawrence,

Subject: Keng Kabao Rockblasting project

.....

I have pleasure in sending you a technical report on the Keng Kabao project as it stands on 30 March 1973.

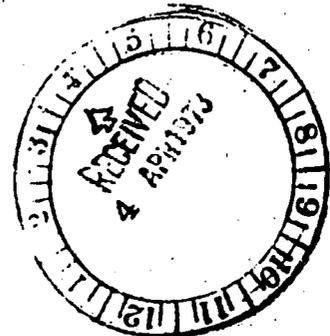
.....

You will also find enclosed a financial report of the first quarter of this year.

Yours sincerely,

Phlek Chhat
Director
Navigation Division

Mr. Lee St. Lawrence
Counsellor and
Alternate Permanent Representative of
the United States to ECAFE
Office of Regional Economic Affairs
U.S. Embassy
Bangkok



3 April 1973

TECHNICAL REPORT

The drilling pontoon has been completed at the Nongkhai Boatbuilding Centre and has been pushed to the Keng Kabao rapids. It is manned by a Lao crew and ready to start the work as planned on 10 April 1973. The three divers who were trained by the Royal Thai Navy at the end of last year are ready for the job and all their equipment has been bought and transported to the site.

The overhead-filling drill has not yet arrived from the United States, but the pontoon is now equipped temporarily with the two old ordinary drills used during the test drilling made by Major Woollatt. They are in good working condition and we have enough drilling bits which, together with the drilling bit grinder, will assure that we can start the job. The pontoon has been constructed in such a way that, as soon as the new drill from the United States arrives, it can be mounted within a day.

As far as the explosives go, hereto we have not yet received the explosives from the United States and even though, with the US\$5,000 waiver granted to us, part of the explosives were ordered locally, we have not yet been able to procure the necessary transport permit from the Thai authorities. We hope that in the next two or three weeks we will get this permit. In the meantime, in order to start blasting operations on 10 April 1973, we managed to buy from USAID Laos three cases each of 100 sticks of dynamite with the necessary blasting caps. In the first week of April, Mr. van Remoortere will try out this dynamite at the site.

A letter went out to Mr. Thomas Mack of the Regional Economic Development of the United States Embassy, inviting him to assist at the first day of blasting on 10 April. On that date, there will also be a film crew from USIS under the guidance of Mr. Ted Holland.

Committee for Coordination of Investigations
of the Lower Mekong Basin

U.S. GOVERNMENT FINANCIAL ASSISTANCE
QUARTERLY FUND STATUS REPORT

Project title: Navigation Improvement - Rock Drilling
Pontoon and Rock Blasting at Keng Kabao
(Ref: Plan of Operation E/CN.11/WRD/MKG/L.333)

Date of Letter
of Agreement
N/A

Amount of fund granted
US\$67,000.00

Fund received
Baht 833,000.00
(or US\$40,000.00)

Name, title and signature
N.V. Subramanian, Officer-in-Charge
Mekong Administrative Section

N.V. Subramanian

Period ending
30 March 1972 - 31 March 1973

Date of report
2 April 1973

Expense Classification	Cumulative Funds Received	Commitments	EXPENDITURE			Unexpended Balance
			Cumulative Last Quarter	Current Quarter	Cumulative to date	
a) Transportation of Things	<u>BAHT</u>	<u>BAHT</u>		<u>BAHT</u> 2,000.00	<u>BAHT</u> 2,000.00	<u>BAHT</u>
b) Supplies and Equipment : - Pontoon and deck equipment - Drilling equipment and spare parts Sub-total		- -		246,579.50 384,655.00	246,579.50 384,655.00	
c) Explosive and Blasting Accessories		61,780.00		631,234.50 6,738.00	631,234.50 6,738.00	
d) Others : - Training of 3 Lao Divers for 3 months, including Diving equipment		3,795.00		45,130.00	45,130.00	
TOTAL	833,000.00 (\$40,000.00)	65,575.00 (\$3,148.86)		685,102.50 (\$32,898.08)	685,102.50 (\$32,898.08)	82,322.50 (\$3,953.06)
Remarks: Interest earned from this grant has been kept in a separate account together with other U.S.A. grant, received in Baht.						

4980206 (6)
PO-440-965
1973

January 4, 1973

BENEFITS COMING FROM RAMP CONSTRUCTION IN LAOS AND THAILAND

1. Regular service is now possible without any stoppages due to the ramp crumbling down or not sufficiently protruding into the water. In the past very often trucks and other vehicles had to make a detour of several hundred kilometers in order to cross the Mekong at another point.
2. Due to the fact that the newly constructed ramps are sufficiently wide to allow for two-way traffic, much time is gained in loading and unloading the ferry.
3. With the new ramps, it is possible to use a bigger ferry capable of taking two or three times the number of the vehicles transported at this moment.
4. In several cases the now constructed ramps can be used to moor along side river craft for loading and unloading.
5. ^{THOUGH} Not ~~is~~ a technical advantage, ~~is~~ the fact that it is known that the United States Government contributed considerably to the realization of this ramp construction project. I have personally, by means of an interpreter, talked to several truck drivers who regularly cross the Mekong by means of the now already finished ramps of Pakse and Muong Cao and they were all very grateful with the improvements accomplished.

Captain W. P. A. Ditmar

Handwritten signature and scribbles

RECEIVED
JAN 11 1973
A.M. 7:19:10
EAVRD
P.M. 12:19:41:519

Mission report - Vientiane, Savannakhet, Nongkhai -
11-16 December 1972
Captain W.P.A. Ditmar

11.12.72
 18:30

Departure Bangkok

12.12.72
 06:30

Arrival Nongkhai. Handed pro forma bills about Perkins and GM engines, necessary for the possible construction of a buoy laying pontoon for Laos, to Mr. Cragg to study.

09:30

Vientiane. Meeting with Mr. J. van Rensvoort

1. Mr. van Rensvoort has a continuous contract with the Belgian Government and has a right to go on leave in December 1973. As the Belgian assistance to the Mekong Committee providing Mr. van Rensvoort will end in April 1974, he will ask his Government to postpone his leave until that date unless the Secretariat asks and gets a renewal of the Belgian assistance which will probably depend largely on the Lao Government.
2. Mr. van Rensvoort will come to Bangkok in January on doctor's order for a full medical control in the Seventh Day Adventist Hospital.
3. Except in Luang Prabang, no work is being done on any ramp, in some cases due to insecurity as workers have to be on guard during the night, and in other cases because no money for labour has arrived yet.
4. Mr. van Rensvoort suggests not to try starting any work at Thakhek as due to the insecurity and the fact that the workers are half the time guarding the town, the ramp could never be finished during the coming low water season and the same disaster might happen when the water starts rising again as was the case this year in Savannakhet.
5. Mr. van Rensvoort will try to bring the jet boat and the hydrographic equipment, which are still in Pakse, to Savannakhet and asked whether the Navigation Division would agree. I have told Mr. van Rensvoort to bring it down as fast as possible if Mr. Issara agreed.

Meeting with Mr. Issara K. Sasorith

1. Discussed "Notes by the Secretariat" on the "beaconing upstreams of Vientiane". Mr. Issara will give his comments on 15 December 1972.
2. Mr. Issara agrees in principle with the coming traffic survey between Vientiane and Savannakhet but pointed out the necessity of the same survey between Vientiane and Luang Prabang.
3. In-service training. If possible 2 candidates for hydrography during 3 months and 2 candidates for cartography during 6 months. As a hydrographic vessel of the Royal Thai Navy is going to survey shortly in the Gulf of Thailand and has room on board for one or two trainees in hydrography. I asked to give me names and personal history forms before my departure on 15 December.
4. Fellowship of Mr. Vandy Sivongsay. Mr. Issara had never heard of this man and as his request for a scholarship never passed a Government official, he strongly advised the Secretariat not to pursue such a request.
5. If the Secretariat can obtain a fellowship in France for Mr. Khamsing in the field of port management (inland ports and sea-ports); it would be of immense value for Laos and Mr. Issara was in full agreement. In this connexion, the future of the port of Savannakhet and the free zone in Da Nang were discussed and also the possibility of having eventually some ships under Lao flag. In this connexion, the plan for a navigation school in Phnom Penh will certainly get the full support of Laos.

I have promised that the Navigation Division will prepare the request for a fellowship for Mr. Khamsing.

6. Ramp construction. Mr. Issara assured me that the remaining five ramps would be finished during this low water season. The money contributed by the Lao Government would reach the engineers in charge next week. The experience with the Savannakhet ramp had once more accentuated the need for drilling to ascertain the depth of the firm layer on which the toe wall has to be built.

Informed Mr. Issara that the Secretariat had asked the U.S. Government for a supplementary aid of US\$50,000 but that no answer had yet been received.

7. Mr. Issara informed me that a homologue to the inland navigation instructor in the Savannakhet training school, would be chosen from the four people who attended the 7 months inland navigation fellowship in Belgium in 1971/1972. The financial participation of the Lao Government in the school had been retarded but was now in order and the money would be available before the end of this year.

The planned 10 pupils for the inland navigation course were being selected and would reach Savannakhet in the beginning of January 1973. The course for Marine Diesel mechanics had started already.

Meeting with Mr. Sisouphanh Choumanivong

Informed Mr. Sisouphanh about the reasons for my mission to Laos.

Mr. Sisouphanh strongly supported Mr. Issara's advice not to deal with any request for scholarships made without an advice from the National Mekong Committee.

13.12.72

Air America to Savannakhet v.v.

1. Visit to the ferry ramp. No work is being done and the bank protection on the riverside is a sorry sight (see photographs). The toe wall has been displaced and is cracked in several places. The engineer in charge is waiting the outcome of the drilling which will probably start next week.

An American USAID engineer told me that the soil was tricky in this part of the river as the friction coefficient was very low. He is discussing other means for the reconstruction with the Lao engineer in charge.

2. Visit to the "Collège d'Enseignement Technique"; meeting with the Director, Mr. Caudrelier and the navigation instructor, Captain Guyader.

All plans for the new buildings are ready and construction can start as soon as the money pledged by Laos comes in. The equipment needed for the training in the first year has been shipped from France already and is underway to Bangkok. The Secretariat will have to get busy after arrival, to ship everything down to Savannakhet. The course for "Marine Diesel Mechanics" started on 3 December. The official inauguration of the new activity in this old established Technical School, is planned to take place at the end of January 1973. A junk to be transformed as an instruction vessel has been promised by Mr. Issara.

I informed Captain Guyader about prices of some equipment in Bangkok for which he had asked.

14.12.72

Meeting with Tiao Bouavong Kattynarath (Ministry of Public Works and Transport)

Discussed his plan for the Savannakhet ramp repair by means of a new toe wall a few feet below the damaged one and then really based on solid ground. The plans for the Ban Houei Say ramp will be ready at the end of this month.

Meeting with Mr. D. Clark of USAID Laos

1. Mr. Clark is of the opinion that contrary to Mr. Issara's assurance, only two or possibly 3 ramps might be finished during this low water season.
2. Mr. Clark will inform the Secretariat about the possibility of assistance with the aerial survey for a fleet inventory between Vientiane and Savannakhet. Doing this survey by helicopter is neigh impossible as the vibration prevents taking good photographs. The cheaper ordinary plane is better (Porter) as it lends itself very good for photography. This will be a civilian plane. If assistance cannot be given for the charge, we shall receive a pro forma invoice.

Meeting with Mr. Issara K. Sasorith

1. Mr. Issara asked to introduce the "Note by the Secretariat" on "beaconing upstreams of Vientiane" without mentioning that Laos will pay for the labour.
2. I received the names of the two candidates for in-service training in hydrography with the Royal Thai Navy in Bangkok. Personal history forms will follow next week. (Mr. Boualephanh, Mr. Thao Khan)
3. I have suggested to bring down all hydrographic material from Pakse to Savannakhet to commence a survey for determining definitely the best site for port construction as asked by Mr. van Rensvoort.
4. Discussed again the ramp construction on which Mr. Issara remains very optimistic.

15:00

Meeting with Mr. Cragg in Nongkhai

1. Mr. Cragg agreed with the total cost estimate for a buoy laying pontoon as made by the Secretariat. (The estimate for the hull construction was made by Mr. Cragg). He as well as Mr. Richardson, the Diesel Marine engine expert, prefers Perkins engines. The Centre has several films of these engines in stock

for instructional purposes.

2. Visited the rockdrilling pontoon; the already installed compressor started immediately and is in perfect working condition; rails for the old as well as the new drills have been welded to the deck and the old drills are being overhauled to be ready in case the new drill does not arrive in time. (See photographs).

.....
18:40

Departure Nongkhai

16.12.72
06:45

Arrival Bangkok

Lee St. Lawrence, MED

November 30, 1972

Thomas P. Mack, MED

I learned yesterday from Leo Doolage, MCC, that the Japanese dredge that was surplus at Nam Ngum (and the GOJ refused to grant it to the KLG) has been purchased by a Lao group of which Commissioner-General of Pien Faavong is a member. The unit is now operating in the Pakse area pumping aggregate from the Mekong.

I thought you would appreciate learning that there is now a suction dredge capability in Laos that may be employed to work the Nongkhai crossing should the river get down to levels hindering the ferry transit.

TPM:pgs

Henry Tupper - NY

Kra Canal study to be reviewed in US

POST 6 JAN. 70

THE six to eight month preliminary feasibility study carried out on the Kra Isthmus canal project will be tabled for discussion in an international congress of economists, bankers and financiers held in Stanford University, in the United States, by September.

If the results of this survey are promising, a detailed study will follow immediately. The study will require 18-24 months to complete at a cost of about 40-100 million baht.

"This renowned international congress which is held every four years will be a good opportunity for the Kra Isthmus study to be submitted for discussion," Mr

Chow Chowkwanyn, a key man in the project, said yesterday.

"For a project of such magnitude which involves construction costing millions of US dollars, a very careful study must be conducted before it is launched. And such a study must be undertaken by the world authorities in this field."

Tippetts - Abbott - McCarthy-Stratton, engineers-architects, and Robert F. Nathan Associates, consulting economists, recently awarded a contract for feasibility studies of the project, scheduled to be completed before the end of August and to be submitted to the Government on September 1.

"Much of the data and statistical figures in both the \$29 million study of the Panama sea-level canal made by US Government, and the Southeast Asian Regional Transport Survey financed by UN, the United States and Asian Development Bank, will be utilized for the feasibility study of Kra Canal—thus saving a sizeable amount of money."

"We are looking forward to not only 10 years ahead but a hundred years when the world will be using gigantic tankers," said Mr Chow.

Once the project becomes a reality, he said, not Thailand alone, but the whole Southeast Asian region and the world will benefit from this canal, its ports and other facilities.

"Considering the advantages and benefits of the canal and its ports, its

value should also be assessed by volumes of tonnage passing through, plus the bulk of transshipment for regional trade, the area and population it would serve and its effect on economic development."

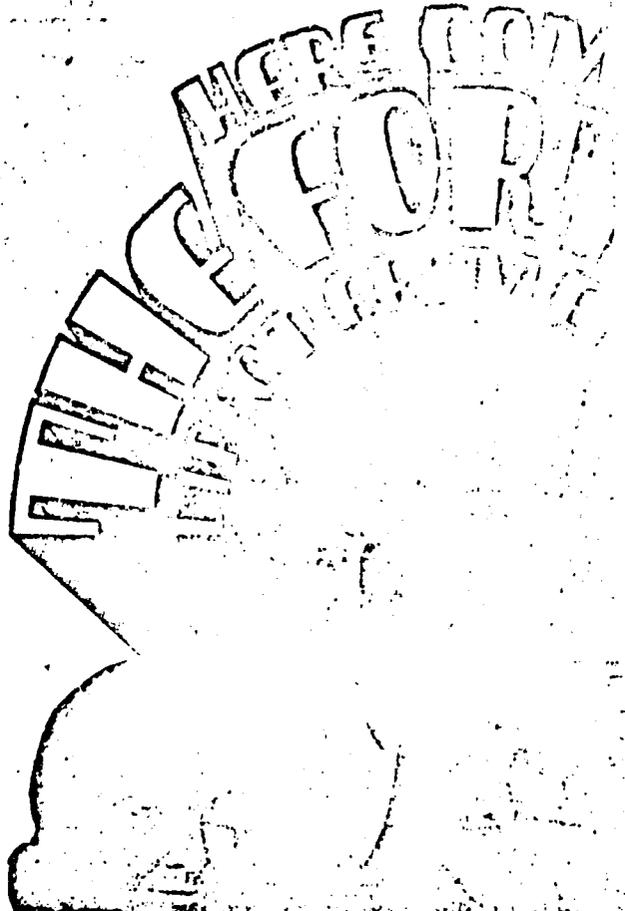
In assessing the economic value of the canal, said Mr Chow, the benefits of distance and time saving factors had to be taken into consideration.

"Though the distance the Kra Canal can save is less when compared to Panama and Suez, the saving in time multiplied by the speed of today's vessels will be tremendous," he said.

"And in technical terms, the question is not 'can' or 'cannot' but how it may be applied economically, and if it is not economical, how can it be made so."

ates makes a speech in honor of memorial service at the In-morning.

by Dr Kalya Issarasena and Choonhavan. the International Church of



4980206
PO-ADD-965

DANANG/ROUTE 9 SATTAHIP STUDY

A joint venture: Louis Berger, Inc. and Daniel, Mann, Johnson, & Mendenhall

Ministry of Communications
Bangkok, Thailand
Tel: 811175 or 811170

c/o American Embassy (RED)
APO San Francisco 9634.

6p

August 25, 1972



Mr. Lee St. Lawrence,
Regional Economic Development
U. S. Embassy
Bangkok

Handwritten notes:
BTK
TM
RKR
Juler

Dear Mr. St. Lawrence:

Under our contract on the Danang/Route 9 Sattahip study, the Government of Thailand, under an agreement with USOM, has agreed to furnish us with adequate secretarial and drafting assistance. The Government, through the Ministry of Communications, has been most cooperative and we have been able to prepare drafts of material as we have gone along and produce progress reports and working papers. The draftsmen provided have not been satisfactory but were not needed in the early part of our work. However, the typists, who can type English but with only one exception cannot speak English or do any proofreading, are not competent enough in English to produce the final report. An additional problem is the lack of a typewriter with a carbon ribbon which can produce copy that can be photographed for offset reproduction.

It became apparent early in July that we would need to obtain at least one good draftsman, one good typist, and an electric typewriter. I discussed the problem in detail on July 17 with a representative of the Ministry of Communications. She believed that we could ask permission from DTEC to allow us to have this drafting and typing done by local firms and reimburse them from Ministry funds. A letter was prepared, approved by the Ministry, and forwarded to DTEC where it is still waiting final approval.

In the meantime, I have not been able to wait any longer for written permission and this week engaged the services of a good draftsman from the local Louis Berger Office and a good typist from Manpower, and have rented an electric typewriter. We shall rent an additional typewriter next week. We estimated the cost of this as follows:

Typist, two months at \$200 per month	\$400
Draftsman, 60 man days at \$14 per day	840
Typewriter rental, four months at \$50 per	200
	<u>\$1,440</u> or about $\frac{1}{3}$ 30240

It is my understanding that this is the amount requested by the Ministry for release by DTEC. It is my best estimate that this will be approved. If it is not, under the contract we are then to come to you for any assistance promised by the Government of Thailand but not provided.

As a result of the delay in obtaining competent staff to prepare the final copy for the printer, we estimate that the delivery of the final report will be delayed by about 20 days: two weeks' additional preparation time and the printer's recent revision of his time requirement from 10 days to 15 days. We propose therefore to deliver 40 copies of the draft report to your office on October 10 instead of September 20 as originally planned. The contract states that the draft report will be delivered with 9 months "of the Notice to Proceed." (p. S-18) The "effective date of the contract" is December 20, (p. S-21) It was signed on January 12. This change will not result in any increase in the estimated budget for the study because my time has been budgeted through the review period and the other two remaining members of the team have been budgeted through September 30, by which time the copy will have been submitted to the printer.

Sincerely yours,



Arthur G. Auble
Team Leader

Henry: This unofficial advisement that the Draft Report will be a few days late. This troubles us not, so long as the extension costs no more. I'll advise if real problems surface.

HP/A.1265
TEC 322 (5-5)

25 July 1972

Subject: Ramp construction in Laos

Dear Harry,

.....
.....
I have pleasure in sending you hereby a photocopy of a letter from Mr. Doolaege in Vientiane and a set of photographs on the progress of the ramp construction in Laos.

.....
Last week I visited Pakse, Muong Kao and Savannaketh and I also enclose a set of photographs of these three ramps which I took myself. You will notice that Pakse and Muong Kao are fully completed, but I want to draw your attention to the bank-protection in these two places.

Especially in Pakse, this bank-protection was laid only exactly the length of the ramp and I am afraid that if no protection is also laid on both sides of the ramp, the current will undermine severely the existing protection and the ramp itself.

The engineer in charge promised to send me a detailed cost estimate after which we might see if any money is left over from the actual ramp construction to cover this extra.

Yours sincerely,

Captain W.P.A. Ditmar
Acting Director
Navigation Division

Mr. Harry J. Petrequin, Jr
Deputy Director
Office of Regional Affairs
American Embassy
Bangkok.

WPAD/ms

*in this
rip-off
of water
is called*

Signer



ECONOMIC COMMISSION FOR ASIA AND THE FAR EAST
 COMMITTEE FOR COORDINATION OF INVESTIGATIONS
 OF THE LOWER MEKONG BASIN
 SALA SANTITHAM
 BANGKOK 2, THAILAND.

TELEPHONE : 813544
 CABLE: ECAFE BANGKOK

Vientiane, 10 July 1972

TO: Mr. W. Dittmar, Director a.i. *Copy + photographs sent to Mr. Petruzzini.*
 Navigation Division
 FROM: L.G. Doolaege *[Signature]*
 Hydrographer
 SUBJECT: US/MEKONG PORTS AND FERRY RAMPS IN LAOS.

A) Progress report on construction for May-June 1972

1. PAKSE - date of visit: 3 July 1972

Grading	: 100%
Bank protection-back and river slope	: 100%
Toe walls	: 100%
Ramp roadway - concrete paving	: 100%

2. KUONG KAO - date of visit : 3 July 1972

Grading	: 100%
Bank protection-back and river slope	: 90%
Toe walls	: 100%
Ramp roadway-concrete paving	: 100%

The 1st bank protection -at Kuong Kao- will be completed in about 2 or 3 days so that by the time of writing this report, the Pakse and Kuong Kao ramps are to be considered finished.

However Mr. Khammanh, engineer, chief of the Subdivision of Public Works felt that a small complement of bank protection should be carried out next dry season in order to stabilize the lower part (on the Kuong Kao side) of an old ramp which ends up into the new one.

On the Fasse side, a high cliff-like bank, located at the downstream bend of the new ramp should also be protected, next season, when a wooden construction, (police watch-house) located near the edge of the bank shall have been removed.

Any funds left over from the Fasse and Mekong Ramp could be most usefully spent on this minor job.

Mr. Khammanh should be congratulated for the fine job he accomplished under difficult circumstances.

3. SAVANNAKHET - date of visit: 3 July 1972

Grading	: 95%
Bank protection-back and river slope	: 55%
Toe walls	: 100%
Ramp roadway-concrete paving	: 55%

Good progress has been made in Savannakhet, and Mr. Khamphuey, engineer, chief of the Subdivision of Public Works hopes, if the Mekong waters do not rise too rapidly, to complete the ramp still this year, part of the slope bank protection excepted.

4. THAKHEK (KHANOUANE) - no visit.

Grading	: 65%
Bank protection-back and river slope	: -
Toe walls	: -

Ramp roadway : about 80% covered with crushed stone.

No sensible progress was made on this ramp since the last visit on 5 May 1972. The local Subdivision-chief of Public Works lacks the competency and the experience for this job. The works have been stopped.

The Mekong waters are already too high now to have any hopes of building the ramp still this year.

Mr. Issara, Director of Hydraulics and Navigation, will take the necessary steps with the Public Works Department in Vientiane, to resume, and ensure the completion of the ramp next dry season.

5. BANBOURY (BAN HUCUG THIL DEUA) - date of visit: 29 April 1972

Local materials are actually stocked near the site of the ramp, in readiness for the next low water season.

Drilling equipment has been sent out to the site for soil sampling. The design of the ramp and estimation of cost will be carried out by the Public Works Department in Vientiane.

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6. LUANG PRABANG-date of visit: 27 June 1972

Grading work is continued very slowly.

7. BAN HOUET SAY- date of visit: 28 June 1972

Local materials are actually stocked near the site in readiness for the next low water season. The design and the cost estimate of the ramp are now being prepared by the Public Works Department.

B) Statement of Expenditures made for local materials up till the 10 July 1972

1. PAONG + THONG LAO

Previous report (15 May 1972)	Kip.	4,688,177
3 July 1972 (date of receipts)	Kip.	2,575,100

2. SAVANNHAKHET

Previous report (15 May 1972)	Kip.	958,177
1 July 1972 (being processed)	Kip.	702,000
5 July 1972 (being processed)	Kip.	201,000

3. THANTHAK - (HONGKOUANG)

Previous report (15 May 1972)	Kip.	304,000
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4. SANABOURY (BAN INONG TRADUNA)

29 June 1972 (date of payment)	Kip.	155,000
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5. LUANG PRABANG

Previous report (15 May 1972)	Kip.	2,299,200
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6. BAN HOUET SAY

5 July 1972	Baht.	32,000
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Total	Kip.	11,750,000
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Total	Baht.	32,000
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Transferred to account in Vientiane February 1972	Kip.	11,807,400
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Balance in Vientiane	Kip.	150,000
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