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UNCLASSIFIED

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
Washington, D. C. 20523

LAC REGIONAL

PROJECT PAPER

SCIENCE & TECHNOLOGY TRANSFER

January 1982

LAC/DR:77-9/1 AMENDMENT

Project Number: 598-0572

UNCLASSIFIED

PROJECT DATA SHEET

1. TRANSACTION CODE

A = Add
 C = Change
 D = Delete

Amendment Number 1

DOCUMENT CODE

3

2. COUNTRY/ENTITY

LAC Regional

3. PROJECT NUMBER

598-0572

4. BUREAU/OFFICE

LAC/DR

05

5. PROJECT TITLE (maximum 40 characters)

Science and Technology Transfer

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)

MM DD YY
 09 30 82

7. ESTIMATED DATE OF OBLIGATION
 (Under 'B.' below, enter 1, 2, 3, or 4)

A. Initial FY 77

B. Quarter

C. Final FY 82

8. COSTS (\$000 OR EQUIVALENT \$1 =)

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	300		300	1,650		
(Grant)	()	()	()	()	()	()
(Loan)	()	()	()	()	()	()
Other U.S.						
1.						
2.						
Host Country						
Other Donor(s)						
TOTALS	300		300	1,650		

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ST	750	870		750		900		1,650	
(2)									
(3)									
(4)									
TOTALS				750		900		1,650	

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code

B. Amount

13. PROJECT PURPOSE (maximum 480 characters)

Remains same as in original Project Paper (PP).

14. SCHEDULED EVALUATIONS

Interim MM YY MM YY Final MM YY
 5 8 0 6 8 2

15. SOURCE/ORIGIN OF GOODS AND SERVICES

000 241 Local Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a 12 page PP Amendment)

Funding for Life of Project and Project Period are amended as described in the PP.

17. APPROVED BY	Signature	DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
	Title	
	Date Signed MM DD YY	MM DD YY

INSTRUCTIONS

The approved Project Data Sheet summarizes basic data on the project and must provide reliable data for entry into the Country Program Data Bank (CPDB). As a general rule blocks 1 thru 16 are to be completed by the originating office or bureau. It is the responsibility of the reviewing bureau to assume that whenever the original Project Data Sheet is revised, the Project Data Sheet conforms to the revision.

Block 1 - Enter the appropriate letter code in the box, if a change, indicate the Amendment Number.

Block 2 - Enter the name of the Country, Regional or other Entity.

Block 3 - Enter the Project Number assigned by the field mission or an AID/W bureau.

Block 4 - Enter the sponsoring Bureau/Office Symbol and Code. *(See Handbook 3, Appendix 5A, Table 1, Page 1 for guidance.)*

Block 5 - Enter the Project Title *(stay within brackets; limit to 40 characters).*

Block 6 - Enter the Estimated Project Assistance Completion Date. *(See AIDTO Circular A-24 dated 1/26/78, paragraph C, Page 2.)*

Block 7A. - Enter the FY for the first obligation of AID funds for the project.

Block 7B. - Enter the quarter of FY for the first AID funds obligation.

Block 7C. - Enter the FY for the last AID funds obligations.

Block 8 - Enter the amounts from the 'Summary Cost Estimates' and 'Financial Table' of the Project Data Sheet.

NOTE: The L/C column must show the estimated U.S. dollars to be used for the financing of local costs by AID on the lines corresponding to AID.

Block 9 - Enter the amounts and details from the Project Data Sheet section reflecting the estimated rate of use of AID funds.

Block 9A. - Use the Alpha Code. *(See Handbook 3, Appendix 5A, Table 2, Page 2 for guidance.)*

Blocks 9B., C1. & C2. - See Handbook 3, Appendix 5B for guidance. The total of columns 1 and 2 of F must equal the AID appropriated funds total of 8G.

Blocks 10 and 11 - See Handbook 3, Appendix 5B for guidance.

Block 12 - Enter the codes and amounts attributable to each concern for Life of Project. *(See Handbook 3, Appendix 5B, Attachment C for coding.)*

Block 13 - Enter the Project Purpose as it appears in the approved PID Facesheet, or as modified during the project development and reflected in the Project Data Sheet.

Block 14 - Enter the evaluation(s) scheduled in this section.

Block 15 - Enter the information related to the procurement taken from the appropriate section of the Project Data Sheet.

Block 16 - This block is to be used with requests for the amendment of a project.

Block 17 - This block is to be signed and dated by the Authorizing Official of the originating office. The Project Data Sheet will not be reviewed if this Data Sheet is not signed and dated. **Do not initial.**

Block 18 - This date is to be provided by the office or bureau responsible for the processing of the document covered by this Data Sheet.

PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS
(Amendment No. 1)

Name of Country: LAC Regional
Name of Project: National Technical Information Service
Number of Project: 598-0572

1. Pursuant to Section 106 of the Foreign Assistance Act of 1961, as amended, the LAC Regional National Technical Information Service project was authorized on September 23, 1977 (the "PAF"). The third paragraph of the Preamble to the PAF is hereby amended as follows:

(a) The amount "Seven Hundred Fifty Thousand United States Dollars (\$750,000)" is hereby deleted from the second and third lines thereof and the amount "One Million Six Hundred Fifty Thousand United States Dollars (\$1,650,000)" is substituted therefor; and

(b) The year "FY 1979" is hereby deleted from the fifth line thereof and the year "FY 1982" is substituted therefor.

2. Except as expressly modified or amended hereby, the PAF remains in full force and effect.

3. This Amendment No. 1 to the PAF shall become effective as of the date below written. However, all actions taken prior to that date, but consistent with the PAF as hereby amended, shall be deemed to be valid and are hereby ratified.

Marshall D. Brown

Marshall D. Brown
Acting Assistant Administrator
Bureau for Latin America
and the Caribbean

March 10, 1982

Date

Clearances:
GC/LAC: BVerot; date 2/5
LAC/DR/MAD: JSmith; date 4/2
LAC/DR/Levy; date 2/18/82

GC/LAC:GMWInt:pkg:2/4/82:x29182

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Part I: Project Summary and Recommendations

A. Face Sheet

B. Recommendations

On the basis of the findings set forth in this Amended Project Paper approval for the following is recommended:

Additional Grant (PASA) \$900,000

This is an add on to the \$750,000 original funding (FY 77, 78, 79) and covers FY 80, FY 81, and FY 82. The Life of Project Funding is now increased to \$1,650,000.

C. Description of the Project and Reason for this Amendment

This Project has over the last five years successfully improved access by the LAC countries to scientific and technical information resulting from U.S. Government investment in research and development and to appropriate technology information resulting from worldwide research and development. The purpose of this amended Project Paper and Project Authorization is to give LAC Bureau approval to a three year (FY 80, 81, 82) extension of the project that was planned but never officially authorized during the FY 1980 LAC Regional ABS review exercise. At that time the now deceased project manager successfully justified a three year increase in the life of project and funding levels. However, the necessary paperwork to move this from a "planned" to an "authorized" activity, i.e., the Amended Project Paper and Project Authorization were never done. However, PIO/Ts were signed to fund FY 80 and FY 81 activities. Congress has been kept informed of the planned increase in funding but since no Project Paper amendment was carried out, the "authorized versus planned" total life of Project cost and project period are out of synchronization. The former still shows the original three years, \$750,000, level while the latter shows the revised \$1,650,000 level and three year project period increase. The purpose of this exercise is to correct this oversight.

Summary Findings

During FY 77, 78, 79 the NTIS Project showed steady progress toward achieving its objective of establishing a functioning mechanism through which scientific, technical and appropriate technology information could be channeled to LAC countries. The number of countries with participating agencies grew from 7 to 16. The Project showed a steady increase in the number of documents distributed and in training of personnel from participating countries. Furthermore, by FY 80 the Agency and the LAC Bureau were emphasizing the need for development of projects utilizing appropriate technology (AT); strengthening of the NTIS data base on AT as well as its network for distribution of such information was a logical next step for the NTIS project.

In hindsight, the FY 80 decision to continue the NTIS project was the correct one. Project objectives have generally been surpassed. For example, the NTIS network has grown to encompass nineteen subsidized and unsubsidized agencies, compared to the original objective of fifteen agencies. In addition, there are bilateral agreements for agencies in Brazil, Venezuela and Mexico. Demand for technical documents has increased steadily within the region and the NTIS volume of technical documents supplied continues to grow, along with the distribution of the monthly publication AMTID (Application of Modern Technology to International Development). The last regular evaluation of this project in (May of 1980) stated that even after a cutback in planned project expansion in 1980, caused by lack of passage of an Operating Year Budget, the NTIS program was meeting its programmed outputs. One lesson learned is that the simple availability of technical data is a necessary but not sufficient condition to ensure its effective use. At this time the Inter-America Research Associates (IRA) with LAC funding is evaluating the actual utilization of technical information provided under the NTIS project. Preliminary results of this evaluation indicate that the distribution of the technical information by NTIS definitely has led to significant technology transfer and utilization.

Project Issues

How long and at what levels AID should carry the NTIS project is the principal issue. There are six local agencies that no longer require subsidization of their technical information purchase costs and there are thirteen local agencies that still require it and will for the foreseeable future. In addition NTIS staff and administrative costs require continuous support if the project is to survive. A distribution system has been created and is functioning. How long does LAC want to give the LAC countries before weaning them of the subsidies? This issue can best be examined following completion of the ongoing impact evaluation by IRA. The current PP amendment only funds this project from FY 80 through FY 82 and is an administrative exercise to synchronize the planned with the authorized levels for this project. The larger issue will be addressed in the next project paper amendment request to be submitted in the Spring of 1982 after the IRA evaluation of project impact is completed.

Part II: Project Background and Detailed Description

A. Background

The complete Science and Technology Information Transfer Project Paper, written in 1977, documents at length what led up to the establishment of this activity. The project is an attempt to meet the demands of less developed countries for better access to modern technologies and to strengthen their technology transfer absorption capacities. The nucleus of project activities is the large and varied collection of technological information maintained by the National Technical Information Service (NTIS) of the Department of

Commerce. This collection is largely based on information generated as a result of U.S. Government sponsored research and development activities. It also provides access to large bodies of private sector knowledge from the U.S. and abroad. Operating from the premises that technical information is a critical development tool and that competent LDC implementing institutions are essential to maintain a permanent flow of information, this project has worked over the last five years to both increase the quantity and quality of information available to the LAC countries and to expand the number and institutional capabilities of LAC cooperating institutions. In hindsight, the goal, purpose, end of project conditions, and outputs projected in 1977 for the project are being met. NTIS has successfully increased the quantity and quality of information available and the network of participating countries and their technical capabilities have grown steadily. Specifically the following accomplishments can be pointed to:

Objective: Improved quality and quantity of scientific and technical information available in LAC.

Results: In 1980, 11,991 general technical documents were distributed in LAC. This figure has grown steadily over the past several years and is expected to do so also in 1981. In 1980, 1,205 documents on appropriate technology were requested by and supplied to organizations working in this area in LAC. In 1980, 17,500 copies of AMTID were distributed in Spanish; 550 in English for the Caribbean and 100 in French to Haiti. Also NTIS has placed 230 appropriate technology Spanish language documents in its data base and developed and updates annually a bibliography highlighting 2600 appropriate technology reports from the estimated 6,000 available in the NTIS Date Base.

Objective: Expand the number and institutional capabilities of LAC cooperating institutions.

Results: There are now nineteen (up from seven at beginning of project and more than the original maximum planned level of 15) agencies in the NTIS network of local cooperating organizations. This includes bilateral agreements with local agencies in Brazil, Venezuela and Mexico. Lines of access to U.S. technical information have been directly opened and all cooperating organizations have had at least one of their staff trained in Washington via the semiannual training workshops. This training, plus periodic regional conferences, have linked cooperating agency personnel to other information institutes in the Washington area, as well as worldwide.

Regular evaluations of this project were done in 1978 and 1980 and a special impact-focussed evaluation is currently underway. The regular evaluation done in late 1978 reported that the project was proceeding satisfactorily given delay in its start-up. Even though scheduled to begin in FY 1977 the PASA agreement was not signed until the last week of the FY 77 Fiscal Year. In the year after the signing, NTIS worked both to

maintain and expand its conventional program in science and technology information transfer and to expand into provision of appropriate technology (AT) information. NTIS focused the bulk of its efforts on establishing AT contacts, sources and distribution network. Training seminars, end-user seminars and case studies on end-use of information were carried out. Twenty-seven thousand copies of AMTID newsletter were distributed monthly, half of them in Spanish. In addition to giving NTIS good marks on project implementation, the evaluation review committee stressed the importance of seeing the results of NTIS efforts either through increased dissemination of publications or in documentation that AT material was being put to use to benefit the poor. The review committee concluded that the project needed more time to adequately develop the AT component. Because of this the committee recommended the project be extended through FY 80 and FY 81. The second regular evaluation done in the Spring of 1980 once again concluded that NTIS was adequately or better meeting the objectives laid out for it in the PP logical framework. Once again the project suffered because of delays and cutbacks in funding as the lack of passage of an OYB for AID in FY 80 forced cutbacks by NTIS in project activities especially in the area of appropriate technology. Nonetheless document sales grew, AT document collection, translation and distribution continued and the directors of the network's cooperating agencies met in the Dominican Republic. Once again the review committee noted that availability of technical information is a necessary but not sufficient condition to ensure its effective use. Project experience has shown that local institutional capability is a key factor in effective information use and reinforced NTIS efforts to strengthen local institutions.

In September 1981 the LAC Bureau contracted the Inter-America Research Association, Inc. to perform an in-depth evaluation of the actual utilization of the information provided through the NTIS project. This special evaluation is designed to assist LAC in determining what to do when the current funding period expires at the end of FY 82. The rationale behind the evaluation centers on the fact that while previous project evaluations have focused on the question of distribution of the technical information more evidence is needed concerning the actual utilization of such information. The Inter-America Research Association (IRA) team has been at work since October 1981 and their final report is expected in April 1982.

B. Detailed Description

The goal and purpose level objectives remain the same. The goal is still broadening and maximizing the use of all science and technology information in solving development problems in Latin America. The two-fold project purpose remains: 1) improving Latin American and Caribbean access to scientific and technical information and patents resulting from U.S. Government investment in research and development; and 2) improving access to appropriate technology

information resulting from worldwide investment in research and development. The project components of strengthening institutional capacities and overall cooperating institution network and of stimulating greater awareness of available information on appropriate technology remain the same.

The other project components, especially Outputs and Inputs, are changed to reflect the additional time and funds invested and increased levels of outputs. The revised Logical Framework (See Appendix) reflects these changes. In summary they are as follows:

1. Outputs:
 - Introduction of computerization of information management in one new country per year.
 - Training of 15 new people per year.
 - Six on-site seminars per year.
 - Orientation provided to at least 60 users per year (distinct from agency personnel).
 - Dissemination of 1000 documents per year.
 - Publication of at least 25 utilization profiles (abbreviated case studies) each year.
 - Updating of AT Bibliography.

2. Inputs:

- A) AID Contribution:
 - Additional Grant (PASA) of \$900,000
 - ADP services.
 - Personnel, travel allocations.
 - Priority order processing.
 - Postage, office materials.

- B) NTIS Contribution: 25% of all sales in project countries.

In addition to inputs mentioned above NTIS will continue to contribute "in kind" as follows:

Printed materials, including brochures, forms, and stock reports.

- C) Host Country Contribution: Office space, personnel, travel.

3. Assumptions: No important impediment will arise in broadening the NTIS information transfer network through bilateral agreements with cooperating agencies in additional Latin American countries.

Part III: Project Analysis

A. Technical and Other Analyses

The technical, social, economic, environmental and other analyses remain unchanged and still valid. The project has proved during its first three years to have no special impediments to its success. During this project

amendment's time frame, special attention will be paid to obtaining Spanish language materials and/or translating selected technical documents into Spanish.

B. Financial Analysis and Plan

1. Return on Investment - The observations in the original PP about the direct target group being public and private organizations and individuals in LAC for whom access to U.S. and worldwide technology can result in their use of more efficient and appropriate technology remain valid. The secondary target group is a larger fraction of the population who are expected to benefit from social and economic improvements as a result of improved technology.

2. Financial Plan - Cost estimates and financial plans are based on recent years expenditures for the FY 82 figures and on actual expenditures in FY 80, FY 81.

TABLE I

SUMMARY COST ESTIMATE AND FINANCIAL PLAN
(\$ Thousands)

	<u>AID</u>	<u>HOST CTR.</u>	<u>NTIS</u>	<u>TOTAL</u>
1. Info Costs	436	915	376	1727
2. Telcon	8	2	2	12
3. Airmail	28	4	2	34
4. Sominars	191	460	16	667
5. Case Studies	23	--	--	23
6. User Educ.	227	1052	188	1467
7. Translations	15	9	36	60
8. Commodities	19	276	2	297
9. AT report subsidy	17	14	5	36
10. VITA Contr.	24	2	--	26
11. Uplating	10	--	--	10
12. Tech. digest	<u>40</u>	<u>40</u>	<u>--</u>	80
TOTAL.	1030	2774	627	4439

Note: LDC purchases of USG scientific and technical information products are projected to rise at a rate of 15% per year by the end of FY 1982.

TABLE II

Summary Budget Cost Components	AID Funds			
	<u>Budget Year</u>			
	80	81	82	Total
	(\$000's)			
1. Preparation and Transfer of Information, Products and Services	<u>133.3</u>	<u>137.3</u>	<u>165.7</u>	<u>436.3</u>
2. Telecommunications	<u>2.3</u>	<u>2.7</u>	<u>3.0</u>	<u>8.0</u>
3. Airmail postage subsidy	<u>8.0</u>	<u>8.0</u>	<u>12.0</u>	<u>28.0</u>
4. Seminars (incl. travel, per diem)	<u>50.5</u>	<u>63.0</u>	<u>77.0</u>	<u>190.5</u>
5. Case Studies (incl. travel etc.)	<u>17.8</u>	<u>--</u>	<u>5.0</u>	<u>22.8</u>
6. User Education (incl. AMTID)	<u>74.0</u>	<u>65.0</u>	<u>88.3</u>	<u>227.3</u>
7. Translation Spanish	<u>2.0</u>	<u>4.0</u>	<u>9.0</u>	<u>15.0</u>
8. Commodities (indexes, equipment)	<u>8.0</u>	<u>3.0</u>	<u>8.0</u>	<u>19.0</u>
9. AT report subsidy	<u>4.0</u>	<u>5.0</u>	<u>8.0</u>	<u>17.0</u>
10. VITA contract (incl. AT Bibliography)	<u>--</u>	<u>10.0</u>	<u>14.0</u>	<u>24.0</u>
11. Updating old reports	<u>--</u>	<u>--</u>	<u>10.0</u>	<u>10.0</u>
12. Technology digest project	<u>--</u>	<u>--</u>	<u>40.0</u>	<u>40.0</u>
	<u>299.9</u>	<u>298.0</u>	<u>440.0*</u>	<u>1037.9</u>

*NTIS request for FY 82 is for \$440,000 but AID's FY 82 obligation figure is \$300,000. The question of obligation of additional funds, (for FY 82 and/or FY 83) will be reviewed in the Spring of FY 82, when an amended PP request will be submitted, as outlined on page 4.

TABLE III

Detailed Breakdown of Staffing Cost for NTIS

TITLE	<u>BUDGET PLAN</u>	<u>PERCENTAGE</u>	<u>AMOUNT</u>
FY-1980			
Foreign Affairs Admin.	15/2	12%	\$ 5,274.
Secretary	6/5	7	1,124.
Latin Amer. Regional Off.	13/2	75	22,768.
Central American Desk Off.	12/1	100	25,013.
Secretary	3/1	100	8,952.
Training Specialist	13/8	17	5,978.
Intl. Services Specialist	12/5	8	2,310.
Administrative Assistant	7/10	22	3,938.
Program Assistant	9/9	17	3,560.
			Sub-total
			<u>78,917.</u>
Benefits		9.5	7,582.
Overhead		47	41,077.
			<u>\$127,576.</u>
FY-1981			
Foreign Affairs Admin.	15/4	10%	\$ 4,733.
Secretary	6/7	10	1,609.
Latin Amer. Regional Off.	13/3	100	34,184.
Central Amer. Desk Off.	12/2	100	27,496.
Secretary	4/6	30	3,836.
Intl. Program Specialist	12/6	5	1,541.
Administrative Assistant	9/9	25	5,773.
			Sub-total
			<u>\$ 79,172.</u>
Benefits		9.2	7,784.
Overhead		52	44,957.
			<u>\$131,913.</u>
FY-1982			
Foreign Affairs Admin.	15/4	17%	\$ 8,352.
Foreign Affairs Officer	14/2	50	20,506.
Foreign Affairs Analyst	13/1	100	33,586.
Secretary	6/1	25	4,776.
Secretary	5/1	50	6,427.
Administrative Assistant	9/10	25	8,315.
Intl. Services Specialist	12/7	8.3	3,390.
			Sub-total
			<u>85,352.</u>
Benefits		10	8,515.
Overhead		70	65,721.
			<u>\$159,608.</u>
TOTAL			

Part IV: Implementation Arrangements

The implementation arrangements are essentially the same as those laid out on pages 44-49 of the original PP. However LAC/DR's NTIS project monitoring responsibility now rests with its Multi-Sectoral Activities Division. Direct collaboration by the OAS in this project is no longer planned. NTIS will follow the pattern of working directly with the cooperating agencies to strengthen their institutional capabilities and will support all such organizations whose countries are meeting the basic criteria for support to a cooperating agency. By the end of FY 82, the network is expected to be operational in 18-20 countries in LAC. Attached are the Annual Calendars of activities to be carried out by NTIS.

Evaluation of progress and future plans for NTIS was performed in 1980 and is the subject of an special evaluation currently underway. Results and objectives of these evaluations are covered in Part II, A of this amendment.

Part V: Annexes

A. Revised Log Frame

The attached logframe contains not only this most recent update but also a revision done in 1979 by the Project Review Committee as part of this project's evaluation in that year.

B. Project Evaluation Summaries

1. PES for Period 10/77 to 10/78
2. PES for Period 10/78 to 05/80

C. PIO/Ts for FY-80 and FY-81